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ABSTRACT

Aimed at central office administrators, school board members, staff developers, and state-level policy makers, this document is about restructuring the educational system and the two most prevalent restructuring strategies--school-based management and shared decision making. The document attempts to create awareness of the current system's problems, discuss the promises and realities of site-based management, present the results of a survey examining shared decision-making, offer recommendations, and suggest helpful resources. Section 1 discuses the rationale for restructuring the system, highlighting changes in demography, the economy, and the value system. Section 2 discusses school-based management, presenting the strategy's promise and reality in three areas: increasing teacher expertise; increasing parent involvement; and increasing school effectiveness and student academic outcomes. The third section identifies the barriers to changing traditional behavior and the types of training programs needed. Section 4 recommends that: (1) school sites and districts effect a transformation of authority; (2) a systemwide culture supporting collegiality be developed; (3) professional development be provided; and (4) the entire educational system demonstrate commitment to shared decision making. Section 5 offers various resources to help practitioners develop strategies. Appendices contain a list of survey respondents, a survey summary, numerous charts, and a directory of training resources and programs. (131 references) (MLH)

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Organizing the Educational System for Excellence:

Harnessing the Energy of People

by

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Introduction

"If we keep on doing [in education] what we've always done, we will get the results we've always gotten." This statement was made by Jack Bobroff, Superintendent of Albuquerque Public Schools, at a 1989 conference cosponsored by New Mexico Project LEAD and Southwest Educational Development Laboratory (SEDL). While the "results we've always gotten" might be satisfactory for many of our children, there is evidence that approximately one-fourth of the student population in the United States drops out and that an additional one-fourth needs remedial training to meet the performance standards of business and industry.

It has become clear that "doing what we've always done" is not going to produce the quality or quantity of student learning needed for the United States to continue to be productive. Kearns and Doyle (1988, p. 12) contend that the educational system is "boldly marching backwards into the 19th century, just when it should be leading the charge into the 21st century." The needs of all students -- especially those at risk -- are not being met by a system "that demands conformity, doles out knowledge like peanuts to a monkey, and acts as a socioeconomic sorting system by depending heavily on family background for success" (Hutchins, 1988, p. 4). The call for change has come from a variety of sectors. Business leaders, foundations, university groups, education practitioners, education unions, governors, and the federal government have stated that fundamental changes must be made in the structure of the educational system.

This document is about restructuring the system and the two most prevalent strategies associated with restructuring -- school-based management and shared decision making. It is for central office administrators, school board members, staff developers, and state-level policy makers who recognize there are problems, who are struggling to identify possible approaches to addressing those problems, and who seek to avoid the pitfalls experienced by early entrants into the restructuring arena. The document provides information based on research and practice toward the following ends: (1) to create an awareness of the problems with the current system and to present the restructuring perspective, (2) to discuss the promises and realities of site-based management and illustrate the critical importance of shared decision making, (3) to present the results of an SEDL survey dealing with the difficulties encountered when implementing shared decision making, (4) to offer recommendations for those who initiate restructuring efforts, and (5) to suggest selected resources to assist in such implementation. The following is a brief description of the major ideas presented.

Section One: Why Do We Need to Change the System? This section discusses the rationale for restructuring the educational system. Changes in the demographics of the United States population, in the economic base, and in the value system call for changes in the way schools are organized and changes in the educational structure in which they function.

Centralized reforms, in particular those without strong penalties for non-compliance, have had little lasting impact on the way schools operate, teachers teach, or children learn. Efforts to restructure the educational system are gaining momentum. In this document, the term *restructuring* is used in reference to system-wide change. Change is needed at all levels of the system -- school, district, and state -- in norms, roles, relationships, authority distribution, and resource allocation. These changes are not ends in themselves, but are the means to achieve improved outcomes. They are the means to design an educational system that promotes an environment in which school administrators, teachers, parents, students, and the community can develop learning opportunities appropriate for the students in their community. They are the means to provide those closest to students with the authority to make decisions and the resources needed to carry out their responsibilities.

Section Two: What Alternative Practices are Being Tried? This section discusses the concept, rationale, and prevalence of school-based management. It presents the promise and reality of the strategy in three areas: (1) increasing the use of teacher expertise, (2) increasing the involvement of parents and the community in the schools, and (3) increasing school effectiveness and student academic outcomes. This section makes the point that shared decision making is a necessary component for successful school-based management and that the distribution of authority is a critical factor.

Section Three: What are the Barriers to Changing Traditional Behavior? This section presents the results of a survey conducted by Southwest Educational Development Laboratory in the fall of 1989. The survey had three objectives: (1) to describe the major difficulties that practitioners encountered or observed in trying to change traditional behavior when initiating shared decision making, (2) to specify the types of training activities that practitioners found necessary to assist the learning community's members in this effort, and (3) to identify available resources or programs that practitioners would recommend to new implementers.

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Section Four: What Do We Need to Do? This section recommends ways in which school sites and districts can address the problems of and maximize the potential for school-based management to produce more effective schools as well as better student learning outcomes. The recommendations are as follows:

1. School sites and districts must effect a transformation of authority.
2. A system-wide culture must be developed that supports norms of collegiality and collaboration.
3. Professional development must be provided so that staff at all levels can acquire new knowledge, skills, and attitudes.
4. The entire educational system must demonstrate commitment to shared decision making.

Section Five: What Resources Are Available? This section contains a variety of resources to assist practitioners in developing their own strategies for restructuring and implementing shared decision making. Four different processes to guide restructuring are offered: Dufour and Eaker's *Fulfilling the Promise of Excellence: A Practitioner's Guide to School Improvement*; excerpts from *Strategic Planning for America's Schools* by Bill Cook; *Guidelines for Restructuring the Educational Delivery System* developed by the New Mexico/SEDL Organizing for Excellence Partners; and "Recommendations for Restructuring" that resulted from a conference cosponsored by the Louisiana Department of Education's Leadership Academy and the Louisiana/SEDL Organizing for Excellence Partners. The resource section also includes a list of the training programs and/or consultants that were suggested by the practitioners who responded to the SEDL survey on shared decision making.

Section One
Why Do We Need To Change The System?

The Need to Respond to a Changing Society

Many people are indignant over the current call for restructuring the public educational system. They argue that increased standards for entering teachers and for student graduation, merit pay or career ladders for teachers, more stringent evaluation and assessment procedures across the board, and a mandated curriculum are all that is needed to tighten the linkages within the system to produce more student learning. After all, the argument goes, the system has served us well in the past and still graduates a great many excellent students. This kind of argument demonstrates the almost religious faith people have in the traditional model of schooling that many of us experienced (Shanker, 1990).

However, the report of the National Assessment of Educational Progress (NAEP), based on a 1988 test of 100,000 students, found the proportion of 17-year-olds able to perform at the advanced level of reading found in professional and technical work environments (4.8%) was significantly smaller than the proportion who could perform such exercises in 1971 (7%) (Rothman, 1990). The conclusion drawn by many national commission reports is that given our demographic, economic, social, and educational circumstances, we can expect neither greater efficiency nor more equity from the current system. United States Secretary of Education Lauro Cavazos has emphasized that change is needed at an elemental, fundamental level -- that "our educational system must be restructured" (Rothman, 1990, p. 1).

Changes In United States Culture

The high school graduating class of the year 2000 entered kindergarten in September 1987. In order to provide these students with the knowledge, values, attitudes, and skills they will need for productive participation in our democratic society, the educational system must be redesigned to meet the challenges resulting from changes that are occurring in the demographic, economic, and value spheres of United States culture.

Changing Demographics. The first change affecting the educational system is in the demographics of this country: the aging of the population, the diversification of the family unit, and the transition from a nation *with* minorities to a nation *of* minorities (Cook, 1988a). The average age of the United States population is increasing. This means there will be fewer young workers in the future to pay the retirement benefits of an aging population. Shortly after the year 2000, more than 70 million Baby Boomers will begin to retire. The United States already has gone from 17 workers paying the benefits of each retiree to 3.4 workers per retiree, and this ratio will decrease further as increasing numbers of Baby Boomers retire.

Family structure in the United States is changing. Characteristics that used to describe a typical family now describe only a small percentage of families. Families with a working father, a housewife mother, and two school-age kids now constitute only 7% of households in the United States. Today, 60% of women with children over the age of three work for wages outside the home. Every sign indicates that, in the future, even more women will work outside the home for longer hours and longer careers. These factors will have profound implications for both society at large and the schools (Kearns & Doyle, 1988).

The demographics of the student population also have changed. Hodgkinson (1985) points out that the United States educational system must prepare for educating a group of children who will be poorer, more ethnically and linguistically diverse, and who will have more disabilities that will affect their learning. By the year 2000, the United States will be a nation in which one in three will be non-white. The future ethnic makeup of United States youth will be increasingly Asian and Hispanic, slightly more black, and less white (Hodgkinson, 1988). In 1983, childhood poverty was 40% among ethnic minorities.

The implications of these statistics become clear when looking at the profile of high school drop-outs. They usually are from low-income or poverty settings. They often are from minority backgrounds and English is often not the major language spoken in the home. Drop-outs usually have low basic academic skills and have parents who are generally uninterested in the child's progress in school. Many drop-outs are the children of single parents. The drop-out rate for minority students (with the exception of those of Asian origin) indicates the scope of the challenge facing the educational system. While 14% of white students are dropping out, the drop-out rate for blacks is 24% and for Hispanics, 40% (Hodgkinson, 1985).

In addition to being a tragic waste of human potential, the drop-out problem is an economic problem. In those states where a high percentage of the youth graduates from high school, almost every young person becomes a *net gain*. Those that graduate have a high probability of getting a job and repaying the state, through taxable income, for the cost of their education. Those youth who fail to graduate, however, become a *net loss*. Such youth often become an economic burden in one way or another (Hodgkinson, 1985). In Texas, for example, it is estimated that each drop-out *class* costs the state $17.2 billion in direct costs and economic losses. High school dropouts account for two-thirds of Aid-to-Families-with-Dependent-Children payments, and 90% of the inmates in Texas prisons never finished high school ("Public Education...," 1989).

Changing Economic Base. The transition in the United States' economic base is a second change influencing the kind of education that will be needed for the 21st century (Cook, 1988a). The emergence of the *information society*, accelerated by the integration of computers and telecommunications, has spurred distinct economic changes. Technological progress has reduced the number of jobs in goods-producing activities, has increased the relative importance of higher-skill occupations, and has broadened skill requirements within occupations (Vaughan & Berryman, 1989). By the year 2000, service jobs will account for almost 90% of the economy and about half of those jobs will involve collecting, analyzing, synthesizing, structuring, storing, or retrieving information (Cetron, Rocha, & Luckins, 1988).

The companies surveyed by *Fortune* magazine and Allstate Insurance Company expect their workforce to grow by 28% in the next ten years. By 1999, 45% of the jobs available in those companies will require a college education ("Fortune 500 executives...", 1989). Demographers predict that the U.S will add 20 million new workers to the workforce from 1980 to 2000 and that 82% of the new workers will be a combination of female, nonwhite, and immigrant. Only 18% of the new workers will be white, native-born males (Hoachlander, Kaufman, & Wilen, 1989; Hodgkinson, 1989). It is imperative that minorities, immigrants, and women have the educational opportunities needed to fill the higher-paying service and technology jobs.

Changing Values. A third change affecting United States education is the shift in individual human values (Cook, 1988a). One of the concerns generated by the shift to a knowledge/information-based economy is that a new caste system is evolving based strictly on knowing how to access information. Knowledge -- the great equalizer -- is separating the society into *elite* and *under* class (Cook, 1988a). Large numbers of those students coming from families with social and economic problems are *at-risk* when they enter school. Unfortunately, their likelihood of success is diminished even more when they encounter a slow-moving bureaucratic institution, organized on obsolete *factory-model* lines and staffed by teachers who often are teaching subjects that are no longer relevant to the students' futures.

In addition, traditional emphasis on rote learning has failed to provide students with the skills needed to learn independently after they leave the classroom (*The Education Deficit*, 1988).

One of the social consequences of this failure to provide a significant percentage of the population with the skills to access, analyze, and use information is the lack of a common core of values. Quite obviously, a society dichotomized by ignorance and knowledge will not share the same convictions nor will it collectively perceive the same needs. Such a society cannot identify either its cultural benchmarks or its ethical reference points. Ignorance and knowledge rarely produce the same values (Cook, 1988a).

Skills Needed for the 21st Century

The United States' information-based economy is characterized by a body of knowledge that is doubling approximately every 40 months (ATE Blue Ribbon Task Force, 1986). It is clear that in the 21st century, the United States will need people who can think and solve problems creatively, using technology and information (Hutchins, 1988). A massive shift in the way information is processed is taking place, built on partnerships between people and information tools. Person-tool partnerships necessitate the development of human cognitive strengths such as creativity, flexibility, decision making given incomplete data, complex pattern recognition, information evaluation and synthesis, and holistic thinking. Many of the basic cognitive skills are increasingly being shifted to the tool's portion of the partnership (Dede & Freiberg, 1986). Even traditional jobs now call for more familiarity with technology -- sales clerks have to be *computer literate* enough to use a computerized inventory system (Cetron, 1989).

Business and industry in the United States have depended on schools to provide their future employees not only with job knowledge and skills, but also with attitudes that are equally important to functioning within the work force. A report issued jointly by the American Society for Training and Development and the United States Department of Labor presents the results of a major research project that examined new skills employers believe are required by changes in the workplace ("*Workplace Basics...*," 1988). The research found that employers want employees to have characteristics or skills in the following areas:

> **Learning to Learn**. With employees frequently shifting between jobs and responsibilities, they need the ability to absorb, process, and apply new information quickly and effectively.

Listening and Oral Communication. With fifty-five percent of communication time spent in listening, employees need skills in oral communication and listening.

Competence in Reading, Writing, and Computation. Employees should have sound academic skills in summarizing information and using analytical and critical thinking skills.

Adaptability. Creative Thinking and Problem Solving. Employees should be able to use creative thinking to solve problems and overcome barriers.

Personal Management: Self-Esteem, Goal Setting/Motivation, and Personal/Career Development. Employees should take pride in work they have accomplished, should be able to set goals and meet them, should be able to monitor their own work, and should take opportunities to enhance their skills to meet new challenges.

Group Effectiveness: Interpersonal Skills, Negotiation, and Teamwork. Employees should be able work cooperatively with others in teams.

Organizational Effectiveness and Leadership. Employees should understand where the organization is headed and what they must do to make a contribution to organizational goals. Especially valued are employees who can assume responsibility and motivate co-workers.

As illustrated by this list, schooling must involve teaching attitudes and abilities that enable students to learn new skills readily in the future (*The Education Deficit*, 1988). A paper prepared for the Institute on Education and the Economy (Vaughan & Berryman, 1989) reported that both service and manufacturing industries have moved from production-oriented to customer-oriented perspectives, from mass production to flexible production. These changes require fast retooling, shorter production runs, and customized production. In order to meet increased competition, workers need different, better, and more generic skills. These skills include learning through symbols, higher-order cognitive skills even for jobs that are usually thought of as lower-skill jobs, the ability for self-direction, knowing how to learn, and the ability to work in teams. This suggests that the knowledge that students accumulate during schooling may be less important than the learning skills and habits they develop (Crooks, 1989).

In times of rapid change and discontinuity, schools must provide a type of learning that is anticipatory and innovative -- a type of learning

Banathy (1988) calls *evolutionary learning*. Evolutionary learning enables individuals to anticipate and face unexpected situations. It helps them develop the ability to manage change within the environment and within themselves. Evolutionary learning promotes the determination to shape change rather than just react to it. It enables individuals to engage their creativity, to explore alternatives, and to design images of unique new systems (Banathy, 1988). It is the kind of learning that develops students' abilities to apply what they have learned to problems they have never seen before, to work together with others on projects requiring joint effort, to understand not just *what* is so but *why* it is so, and to demonstrate a capacity for creativity (Carnegie Task Force on Teaching as a Profession, 1986). Such learning should be a goal of education.

The Limits of the Current System

Characteristics of the Current System

The numerous reports calling for a fundamental restructuring of the educational system indicate that political, community, and education leaders recognize that the traditional structure of schools is not well suited to meet the demands of educating students for productive living in the 21st century (Cohen, 1987). The United States educational system is organized along the lines of a factory and governed by an agricultural calendar (Kearns & Doyle, 1988). John Cole, Vice President of the American Federation of Teachers (AFL-CIO) and President of the Texas Federation of Teachers, pointed out that most students attend public schools that, instead of being "centers for learning and intellectual development," are:

> more like the great industrial factories of the 19th and early 20th century....there is not an assembly line, but in most high schools there is something like that....Each teacher is at a station. A bell will ring. The line does not move but we have mobile units of production. They move themselves and cluster at a work station where a teacher for 45 minutes or so attempts to pour learning into their heads and then the bell rings and they get up and leave. (*The Education Deficit*, 1988, p. 20)

Lauren Resnick, immediate past President of the American Educational Research Association, suggested that the *factory* or *mass system* of United States education has traditionally offered a curriculum focused on *the old basics* -- developing skills in routine computation, basic decoding, reading predictable texts, and reciting civic and religious codes that enshrine the past (*The Education Deficit*, 1988). This kind of curriculum results in a type of learning that has been labeled *maintenance learning*. Such learning involves acquiring fixed outlooks, methods, and rules for dealing with known events and recurring situations (Banathy, 1988). It promotes traditional ways of thinking and behaving considered appropriate for fixed structures in a stable society.

The old design worked relatively well for the agricultural/industrial society it served. It brought schooling to millions of immigrants, generated the skills and conformity needed to staff the assembly lines, and accommodated a calendar dictated by agricultural seasons. The traditional system was exemplified by conditions in the 1930's and 1940's: aspiring teachers had to pass rigorous exams to enter teaching, students had high standards set for them, homework was expected, there was no social promotion. Parents pushed their children to excel, most students were attentive to their teachers, teaching was a respected profession and there was a surplus of highly qualified teachers. Yet, in 1940, only 20% of students graduated from high school (Shanker, 1990). History suggests that the traditional model of education is dependent on at least three conditions: a cohesive family and social structure, a willingness to educate only a minority of the students to a high level, sufficient jobs for relatively unskilled workers, and a large supply of well-qualified teachers willing to work for comparatively low wages under difficult conditions (Shanker, 1990). These conditions simply do not exist today.

Today, we are finding that the old system has difficulty overcoming the disadvantages caused by family and socioeconomic conditions and cannot keep pace with changing technologies and knowledge. The old design has contributed to the creation of a work force ill-prepared to meet the demands of a highly technical and sophisticated industrial complex. One-fourth of the nation's young people drop out before finishing high school and another one-fourth don't graduate with the skills necessary to find work. Many of those who do find work need remedial help (Kearns & Doyle, 1988).

These statistics are brought to life by the following examples. According to the Louisiana Association of Business and Industry, when Exxon Refinery recently announced 13 instrument technician vacancies, about 4,700 applicants took a test of high-school-level skills. Only 26% of those applicants (1200) passed. A survey of the senior executives of Fortune 500 companies sponsored by *Fortune* magazine and the Allstate Insurance Company indicated that 36% of the companies surveyed currently offer remedial courses to their employees to improve reading, writing, and mathematics skills (Bradley, 1989). These are skills supposedly taught and mastered during 12 to

13 years of public schooling. It is such situations that have led Albert Shanker (1990), president of the American Federation of Teachers, to suggest that our persistent educational crisis demonstrates the limits of our traditional model of education.

Tinkering With the System

Most of the reform efforts of the last decade espoused the idea that positive change in education involves refining the existing system. The objective of this approach has been to realign or refocus school programs and practices to better meet existing goals and standards. Reforms such as standardized curricula, teacher training, teacher certification, length of class periods, student participation in extracurricular activities, and student performance were designed to provide uniform standards. Many of these reforms were easy to implement, especially where districts did not incur any increase in costs because of the addition of teachers or courses. Other reforms that required substantial increases in funding such as decreasing teacher/pupil ratios, providing time for staff development and planning, or lengthening the school day or year were not so easily implemented (CPRE, 1989). Despite sincere efforts at all levels, however, as a 1989 policy statement on restructuring schools from the Council of Chief State School Officers pointed out, too many students are failing to meet the new expectations.

Unfortunately, policy makers have given little serious consideration to the organizational and structural changes that are needed to create excellent schools (Cornbleth, 1986). Because of this, the first generation of reforms left a residue of "incremental changes and an outmoded educational structure still firmly in place" (Kearns & Doyle, 1988). Attempts to improve schools through centralized decision-making have failed because they were based on the following misconceptions (Noblit, 1986):

- Quality can be achieved by mandating standards.
- Teachers are passive recipients of policy.
- No fundamental change is necessary; adjusting the current system and tightening standards are sufficient.

It is easier to think in terms of improving the system we already have rather than to imagine a totally different one, especially when almost everyone believes that we can solve all our problems by improving the traditional model of education (Shanker, 1990). The primary concern has been to find out "how to do things right" rather than to determine, first, if we are doing the "right things." (Jenks & Shaw, 1988).

The divergence between policy intent and actual outcome, however, suggests that disparate policies to achieve educational reform have not changed, in any substantial way, complex and well-entrenched patterns of institutional and individual behavior (Timar & Kirp, 1987). Combs (1988) suggested the following reasons why earlier reform programs have failed to realize their objectives:

1. **Reforms have concentrated on things rather than people**. Effort has been focused on gadgets, gimmicks, methods, subjects, or ways of administering. Education, however, is a people business. Truly effective change in so complex an institution can only be accomplished by effecting changes in people.

2. **Traditional efforts are based on partly right assumptions**. Beginning from partly right assumptions results in partly right answers, which encourage us to keep trying in the same direction. The consequence is that educational reform gets locked into a closed system; we are forever seeking solutions based on the same old assumptions [old paradigms] instead of searching for new and more accurate bases for action.

3. **Mandated solutions rarely achieve their anticipated results**. Too many decision makers, hoping to improve schools and achieve excellence in education, place their confidence in external knowledge, resources, people, or policies. They assume that individuals higher up in the bureaucratic structure know more about what is needed to improve the schools than do the individuals who staff the schools. Such an approach encourages practitioners at all levels to look outside rather than within for solutions to problems, criteria for improvements, or directions for change (Elmore, 1988). Combs (1988) suggests that a more promising approach would be to begin from local problems. If people are going to be motivated to deal with a problem, they must own the problem. Reforms imposed without acceptance or commitment by those who must implement them only add to frustration, resentment, and burnout (Combs, 1988).

However, the kinds of problems that are inherent in the present educational system -- the structured fragmentation of the school day, the isolation of teachers, the emphasis on extrinsic rewards, the split between life-relevant and school-relevant learning, the weak sense of ownership by teachers of the schools in which they work -- will not be remedied by demanding higher standards, requiring longer school days, or adding more courses to the curriculum (Eisner, 1988). Parish and his associates contend that such centrally prescribed curricula and instructional minutia will not produce real achievement nor will they produce thinkers, doers, and free, independent human beings who can be productive in a democratic society (Parish, Eubanks, Aquila, & Walker, 1989).

What is Needed for Reforms to Work?

Combs (1988) suggests the following premises on which to base a reform agenda that may have a greater record of success than have past efforts.

- **Concentrate on changing people's beliefs**. To change behavior effectively, educational reform must concentrate on altering the belief systems of the people who make the decisions and do the work. No matter how promising a strategy for reform, if it is not incorporated into teachers' personal belief systems, it will be unlikely to affect behavior in the desired directions.

- **Emphasize processes, not preconceived outcomes**. Changing people's beliefs is seldom accomplished by coercion. Neither is it generally achieved by lecturing, ordering, legislating, mandating, rewarding, or punishing. Changing people's beliefs requires creating conditions for change rather than imposing reforms. It calls for *open systems of thinking* that work best for problems: (1) that involve people, (2) where objectives are broad and complex, and (3) where outcomes cannot be precisely defined in advance. While the majority of problems in education meet the criteria for open systems, few reformers understand open systems or have the skills to put them in action.

- **Determine what is important**. Efforts at reform must be based on ideas that are important to those who must carry them out. Otherwise, they are almost certain to misfire. Worse still, they will destroy morale.

- **Begin from local problems**. If people are going to be motivated to deal with it, they must own the problem. Reforms imposed without acceptance or commitment by those who must implement them only add to frustration, resentment, and burnout. How problems are defined from the perspective of legislators, parents, school boards, educational theorists, or administrators is often very different from the way they are interpreted by those in classrooms. Consequently, problems and solutions defined from higher levels are regarded by teachers and principals as interruptions, which only further complicate their already difficult jobs. Confronting local problems and facilitating the discovery of appropriate solutions is the most likely road to effective reform.

- **Eliminate barriers to reform**. Sometimes obstacles exist in the environment, sometimes in the definition of the problem, sometimes in goals or ways of operating. Once barriers have been removed or reduced, commitment is greater and innovations are more likely to be perceived as challenges rather than as threats or impositions.

- **Encourage innovation and change**. If educational reform is to occur from grass roots experimentation, we must find ways to help our profession believe that "it's all right to make mistakes," that *not trying* is the grievous sin. The confidence to experiment must, once again, be seen as a necessary and desirable characteristic of the profession.

The failure of past reform efforts to substantially alter the system suggests that centralized reform efforts must be replaced by strategies that harness the energy of those most involved in improving the schools. There is a need for strategies that focus on building commitment by broadening the leadership base, by sharing decision making with those who must carry out the decisions, and by engaging the expertise of professional staff in the identification of solutions and in the implementation of improvement efforts. These strategies must not be confined to the school site but must pervade the system. Adjusting the current system is not sufficient; system redesign is necessary to *harness the energy of people*.

Restructuring the Educational System

System-Wide Change is Needed

A re-evaluation of the way education is delivered has been called for before. More than a decade ago, Averch and his colleagues (1972, p.

158) concluded that, "... improvement in student outcomes, both cognitive and non-cognitive, may require sweeping changes in the organization, structure, and conduct of educational experiences." The current press for restructuring echoes the need for such sweeping changes in the way schools are organized and operated (Kearns & Doyle, 1988). Sizer agrees that schools must experiment with alternative structures, and that the ideas behind the traditional organization need to be reanalyzed (*ASCD Update*, 1988). The advocates of restructuring see a major change necessary in the way educational services are organized and delivered. The entire system (its goals, functions, policies, and structural arrangements) should be open to question and redefinition (Jenks & Shaw, 1988). The purpose of educational reform should be to create the kinds of institutional arrangements and organizational structures that promote excellence throughout the system (Timar & Kirp, 1987).

Too many goals and too few resources, however, combine to make maintenance and survival, rather than reform and restructuring, the top priorities in most places (Mann, 1988). As a result, the educational system, like other social service institutions, is often "encrusted with the barnacles of inherently unproductive efforts" (Drucker, 1974, p. 145). The system needs to redefine itself in the ways Drucker (1974) recommended for all social service institutions:

- Its *function and mission* need to be redefined clearly by answering the question, "What is our business and what should it be?"

- *Clear objectives and goals* need to be derived from the definition of function and mission.

- *Priorities* need to be identified that enable targets to be selected, standards of accomplishment and performance to be set, deadlines to be targeted, results to be defined, and accountability for results to be determined.

- *Mechanisms* should be in place for *organized abandonment*, i.e., *to identify and discard objectives* that no longer serve a purpose or that have proven unattainable, programs that exhibit unsatisfactory performance, and activities that are obsolete or unproductive.

The last requirement may be the most critical one because it is difficult to abandon yesterday's success. Yesterday's success too often becomes *policy*, *virtue*, and *conviction*. To keep pace with a changing society, however, it is necessary for institutions to rethink their missions, objectives, and priorities. Organizations need to build in mechanisms so that feedback from outcomes and performance can guide future policies, priorities, and action. A success that has outlived its usefulness may, in the end, be more damaging than failure (Drucker, 1974).

One problem with past reforms is that they have not focused on the entire educational enterprise (Whitford & Hovda, 1986). As a rule, improvement efforts have failed to consider that the nature of school improvement is ecological and interactive (Eisner, 1988). Each school is part of a unique system in a carefully balanced ecology. Effective educational change requires a perception of the system as one in which every part acts in concert with every other part based on values and beliefs that guide the workings of the entire system. New efforts must involve system-wide changes that include changing roles and responsibilities at the district and state levels as well as at the school level. Without such changes, schools will continue their struggle for improvement enmeshed in a gridlock of rules and regulations that constrains them from adapting the conditions at the school site to meet the needs of their particular community of students.

Farrar (1988) examined the implementation of school-based improvement and effective teaching programs in five urban high schools in Cleveland, Boston, New York City, New Jersey, and California. While decentralizing authority to the school was considered a key factor in all the programs, in reality school-improvement goals were set by the state, district, or court in every case. Decisions over how to improve achievement were made outside the school and required the school to be responsible for the effective implementation of policies established by others. With state and district policies and mandated testing objectives superseding school-developed initiatives, the schools found themselves with little authority to control the improvement process but increasingly accountable for improvement results. It is not surprising that the faculties in the schools showed little enthusiasm for implementing the programs and felt little ownership (Farrar, 1988).

The Restructuring Perspective

The restructuring perspective is based on the premise that the entire educational system needs to be redesigned to provide authority and control over resources to those closest to students, most familiar with the problems and learning needs of students, and who daily must implement decisions that affect students. The restructuring perspective holds that the educational system should be engaged in an ongoing process of reassessing and adjusting the system to meet changing goals and priorities, rather than engaged in maintaining a passive structure upon which practices, programs, and policies are layered. Restructuring the educational system requires a willingness to consider new, unique, and unfamiliar ways of organizing and delivering educational services.

Social changes, surfacing with unprecedented speed, call for an educational system that is flexible and self-correcting. Restructuring advocates believe the structure of the system should be flexible enough to allow staff at each level to anticipate changes and prepare to meet the needs of learners, the community, and society as they unfold. *Changing* institutions rather than *maintaining* institutions is what restructuring is about. This theme is seen in the management literature (Peters & Austin, 1985; Peters & Waterman, 1982) where a wholesale abandonment of mechanistic explanations of human behavior is being combined with a discussion of how space can be created in organizations for diversity and creativity to flourish.

The restructuring perspective focuses on the behavior of people: how they interact, cooperate, and compete; how they view themselves within the organization; and how they view the organization in relation to themselves (Lotto, 1982). A working paper from the Office of Educational Research and Improvement of the United States Department of Education's LEAD Restructuring Study Group defines *restructuring* as making the necessary adjustments in "rules, roles and relationships" in education so that desired changes can be made in what schools do and the kind of outcomes they produce.

The *structure* of the system is the *pattern* of norms, roles, and relationships that provide a "blueprint for action" (Bates & Harvey, 1975, p. 64). Restructuring requires a change in the pattern. Norms define the expected behavior (e.g., roles) of persons occupying given positions in the system and the way they relate to others. Restructuring involves a dramatic shift in expectations for many roles; it may require the deletion of some roles and the creation of others. In this way, restructuring disrupts existing relationships associated with unsatisfactory results and replaces them with new sets of relationships. Altering role definitions requires the system to become conscious of what people should be doing that is different from what they are currently doing (Corbett, 1989).

Common Elements in Restructuring Efforts

While each restructuring effort grows out of the vision created to reflect the realities of the community it serves (Harvey & Crandall, 1988), there are elements that appear to be common to most of the current system-wide restructuring efforts (Education Commission of the States Re:Learning Project; Mirman, 1988; *Restructuring Educa-*

tion: The Florida Experience, 1988). Common elements include the following:

1. **School goals and activities are designed to meet the needs of all students with a special attention to those at-risk.**

   The purpose of restructuring is to build a new vision of education. That vision defines the way in which the state's educational system works to ensure that all students have an equal opportunity to use their minds well through meaningful teaching and learning experiences. A restructured system is organized on behalf of student learning, targeting the needs of at-risk students. Actions, information, and data are focused on moving together toward the shared vision. The roles and responsibilities within the educational system and the manner in which resources are allocated are redesigned to support the best learning for all students, not bureaucratic or political interests. At the core of restructuring is the assumption that there will be a fundamental difference in how education occurs in the classroom. Adults throughout the system come to see themselves as continual learners and problem solvers rather than purveyors of *right* answers and standardized solutions.

2. **There is a decentralization of authority from the district to the school.**

   Fundamental to restructuring is a decentralization of authority from the state and district to the school coupled with accountability. Decentralization and deregulation become increasingly important for more effective leadership. State and district policies provide for greater freedom at the local district and school level for decision making and an active involvement of teachers in decision making. The job of teaching is redefined to change the teaching/learning environment so that teachers function as professionals who are able to exercise their knowledge and judgment over a wide range of issues affecting students and the school environment.

3. **All constituencies are actively involved in the school community through shared decision making.**

   A *bottom up* approach to management and decision making is an out-growth of decentralization at the school site. Business and community leaders, parents, students, school board members, and education professionals are involved in developing the new shared vision. Teachers, administrators, other school personnel, parents, and students, when appropriate, have input into the decisions that affect the life of the school -- from budget to hiring.

4. **Collaboration and cooperation are evident in the changed relationships throughout the system.**

   Collaboration, shared leadership, and mutual responsibility serve as the model for working relationships throughout the system. Teachers are best able to understand the challenges, difficulties, and concerns of other teachers. Successful initiatives prove the value of using teachers as mentors and coaches to help other teachers who want to improve their teaching skills. Relationships between students become more cooperative as students take more responsibility for their own learning. Teachers adopt the practice of coaching students. Teamwork enables successful participative management. Team-driven management and decision making incorporates a variety of valuable perspectives. Decision making is more reflective of the whole and ownership is more widely distributed. Most restructuring initiatives are negotiated through the collective bargaining process and are actively supported by the union.

5. **Training is emphasized as an essential ingredient to ensure that the challenge of new roles and ways of operating do not become obstacles to progress.**

   Training is essential to ensure that the challenges met in implementing restructuring efforts do not become barriers to progress. Adapting to a new style of management, finding the time to assume new responsibilities, learning new methods of teaching and interacting with students, taking new roles, and feeling comfortable and competent in team situations are challenges faced by teachers and administrators involved in restructuring. Training is essential to help everyone adapt to the new roles and relationships required in a new organizational setting.

6. **The educational climate encourages creativity and risk-taking in searching for better ways to meet the needs of the school community.**

> Restructuring implies fundamental change. Abandoning the old to experiment with the new is not comfortable at first. Tangible benefits are not always immediate. People at all levels of the system must take risks when committed to redesigning their ways of doing things. It is necessary to conceive of new ways to deliver education that will retain or enhance quality within the economic reality of limited fiscal and human resources. It is important to mobilize the human resources available and use their talents, knowledge, and energy in creative ways.

As the above synthesis of the elements common to most system-wide restructuring efforts indicates, these efforts have been initiated to improve the context in which teaching and learning takes place. According to Charles Schwahn, former superintendent of Eagle County Schools, Colorado, the critical element is *empowerment* -- giving people a sense of control over the variables that they perceive to be important to their success (personal communication, October, 1989). When those with the responsibility for leading schools and teaching students are empowered, the educational system is more likely to reach its primary goal of meeting the learning needs of a changing population of students.

Restructuring Means Change at the Local Level

A major purpose of restructuring should be to create schools that are places where ideas have currency, that are staffed by people who are comfortable with ideas, and that are designed so that such people can be as productive as possible (Tucker, 1988). Cohen (1987) argues that so sweeping a challenge cannot be adequately addressed through incremental changes in schooling practices. Successfully restructuring the educational system requires developing new approaches to local control that provide greater discretion to individual schools.

The problems inherent in attempting to make schools more effective do not lend themselves to generalized solutions imposed from above (Wise, 1988). Such attempts at reform have ignored the findings of the implementation literature, the research on teaching, and modern theories of management (Johnson, 1986; Rosenholtz, 1985). The educational system is structured so that the climate in each site has a more powerful effect on the experience of the learner than any particular program or product (Purkey & Smith, 1982). It is the configuration of individuals and resources -- the organizational variables -- that are most powerfully associated with school and program success (Lotto, 1982). Schools differ in their mix of students and staff, the characteristics of the communities they serve, the problems they face, and the histories of their efforts at improvement. Neither excellence nor improvement can be applied or mandated from outside. Both must be developed within a school community (Lieberman & Miller, 1986). Externally imposed practices that are incompatible with local routines, traditions, or resources are likely to be rejected in time (McLaughlin, 1987).

Researchers (Boyer, 1983; Goodlad, 1984; Sizer, 1984) have consistently pointed out that reform in education requires change to take place at the building level. Because local schools are embedded in the larger educational system, however, they are constrained by the allocation of resources and the distribution of authority at the district and state levels. Cohen (1987) cautions that many functions are typically performed at the central office level on a uniform basis for all schools. In addition, many district *effectiveness* policies are highly prescriptive and regulated (Oakes, 1987).

One of the problems schools in restructuring pilot programs have is that they are locked into various policies and procedures handed down from the central district office ("Early experience ...," 1989). The standardization of practices across all schools, without regard to variations in local building conditions, is incompatible with the discretion required at the school site to improve educational productivity. Therefore, change at the school level must be accompanied by changes at all levels of the system for real improvement to take place.

District Support Essential for Success

Without central district leadership and support, schools' efforts to change are severely hampered. In a study of the factors that were most important in the process of implementing local school improvement, Anderson et al. (1987) identified key variables in program success. Their findings indicated that, among other factors, there is a great need for initiation, leadership, commitment, and management by top administrators. Thus, a key management problem for district leadership is how to create a district-level organization that adequately supports school-level objectives (Elmore, 1988). In the San Diego Public Schools, for example, central office personnel are seeking a shift in roles -- from being enforcers, controllers, monitors, and protectors of the system toward becoming enablers and facilitators of the schools (Olson, 1989).

Even though legal authority for many policy decisions is vested in the school board, it will be necessary for school boards and central offices either to delegate to or share authority with individual school sites (Cohen, 1987). For significant change to occur, districts must provide schools with a combination of autonomy, flexibility, technical assistance, and support. The complexity and professional discretion involved in running schools and in teaching require an approach that maximizes the ability of staff and fosters the problem-solving capacity of professionals (Elmore, 1983). According to organizational experts, practitioners' motivation is minimized when significant decisions are made at a central level and only routine decisions are left up to those at the implementation level (Frymier, 1987). Changes in school-level authority and responsibility must be reflected by changes throughout the whole organizational structure (Elmore, 1988).

Restructuring Means Change at the State Level

The challenge for redesigning the educational system is to achieve significant changes not only in the way local districts relate to schools, but also in the way states relate to both districts and schools (Elmore, 1988). According to Cohen (1987, p. 3), the necessary changes "will affect virtually every aspect of the structure and operations of the educational system, from the schoolhouse to the state house." Restructuring does not mean inventing a new set of organizational arrangements that would be applied uniformly across all schools. Rather, it means making it possible for schools to form and adjust their own structures and processes as needed (Cohen, 1987).

The distribution of state and local authority should be a cooperative effort aimed at enhancing institutional effectiveness (Timar & Kirp, 1987). New concepts for restructuring must be the result of carefully supported local efforts, where new ideas can emerge from, and be tested against, the realities of schools and classrooms. The structure and process of governance and control at the state and district levels need to be adjusted in order to accommodate and support needed changes in the organization and management of instruction in schools and classrooms (Cohen, 1987).

Participants at a meeting sponsored by the National Governors' Association in March, 1988 (Elmore, 1988) agreed that individuals at all levels must engage in a continuing dialogue to understand better the connection that must be made between building district, and state restructuring efforts. They concurred that the major challenges facing states are:

- how to mesh school restructuring efforts with the earlier wave of centralizing and standardizing reforms,
- how to generate serious change and sustained commitment with limited resources and capacity at the state level,

- how to manage the emerging political issues around waivers of state law and regulation, and
- how to balance the interests and claims of schools and districts in the administration of restructuring programs.

Cohen (1987) suggests that states provide leadership by:

- articulating a vision of restructured schools,
- encouraging local experimentation with various school structures,
- reducing unnecessary administrative and regulatory barriers to experimentation with promising approaches,
- providing ongoing implementation support and technical assistance to schools and districts trying new approaches, and
- researching and disseminating results to other schools.

In many states, this will require significantly upgrading the state education agency's technical assistance and knowledge production capabilities (Cohen, 1987). In most, it will require a re-definition of the values, beliefs, and assumptions that undergird the educational system and an examination of those policies that constrain effective practice in the schools.

Conclusions

The United States' educational system is faced with challenges presented by significant demographic and economic changes that have taken place in the past twenty years. The aging of the population, the diversification of the family unit, and the transition from a nation *with* minorities to a nation *of* minorities are demographic changes that have implications for the ways in which we educate our citizenry. The emergence of the *information society*, accelerated by the integration of computers and telecommunications, is placing different requirements on what and how students learn. In order to provide the high school graduating class of the year 2000 with the knowledge, values, attitudes, and skills they will need for participation in our democratic society, the educational system must be redesigned to meet these challenges.

Most of the reform efforts of the last decade espoused the idea that positive change in education involves refining the existing system according to state-dictated mandates. However, the problems inherent in attempting to make schools more effective do not lend themselves to generalized solutions imposed from above. Each school is part of a unique system in a carefully balanced ecology. The educational system is structured so that the climate in each site has a more powerful effect on the experience of the learner than any particular program or product. Because local schools are embedded in this larger educational system, however, they are constrained by the allocation of resources and the distribution of authority at the district and state levels. Therefore, change at the school level must be accompanied by changes at all levels of the system for real improvement to take place. Effective educational change requires a perception of the system as one in which every part acts in concert with every other part based on values and beliefs that guide the workings of the entire system.

The numerous reports calling for a fundamental restructuring of the educational system indicate that political, business, and education leaders recognize the traditional structure of schools is not suited to the demands of educating students for productive living in the 21st century. Mandated curricula, staffing patterns, standardized test requirements, regulations, and procedures to be followed by every school for every student does not allow the flexibility required for adapting schooling to the needs of differing communities of students. The reality of this is brought home when listening to the Superintendent of the Zuni School District, New Mexico, discuss the problems that existed when the schools serving the Zuni Indian population were administered within a district with offices 45 miles away. The Zuni schools petitioned the state department of education for status as an independent district citing the following as grounds for this action: inadequate facilities, practices and policies that were not suited to the Zuni culture, and a school environment where 80% of the students dropped out rather than go to the high school. Just one of the results of gaining independent district status is that the district drop-out rate has been reduced to less than 5%.

Restructuring will provide administrators and teachers with the authority to tailor the curricula and staffing needs of a school to address the specific needs of its students rather than being constrained by state-level or district-level directives. Presently, the emphasis on standardized, norm-referenced tests provides a context in which higher-order, problem-solving skills are relegated to a secondary role. Administrators and teachers should have the flexibility to develop an environment that fosters the teaching of attitudes and abilities that enable students to learn new skills readily in the future.

It is clear that in the 21st century the specific knowledge that students accumulate during schooling will be less important than the learning skills and habits they develop. Students will need the ability to work together with others on projects requiring joint effort, to understand not just *what* is so but *why* it is so, and to demonstrate a capacity for creativity. In addition, students will need skills and attitudes that support cooperation, compromise, and group decision making. These skills should be modeled by administrators and teachers in the schools they attend.

Changing institutions rather than *maintaining* institutions is what restructuring is about. Restructuring the educational system requires a willingness to consider new, unique, and unfamiliar ways of organizing and delivering educational services. Restructuring advocates believe the structure of the system should be flexible enough to allow staff to anticipate changes and prepare to meet the needs of learners, the community, and society as they unfold. Many Southwestern districts serve a population of which 80% of the students are children of migrant workers whose home language is not English. These districts have needs that set them apart from other districts in their states. Under centralized curricula regulations that spell out both the content and the minutes each subject will be taught, such districts cannot adjust their curriculum to the degree needed to provide non-English-speaking students with the intensive instruction they need to become literate in a second language. Under mandates that regulate the number of hours/days student must be present to graduate (rather than define student learning outcomes), these districts cannot provide opportunities to graduate for high school students who move with their migratory families. The purpose of restructuring the system is to allow districts and schools the flexibility and the decision-making power to do what is best for their students.

While each restructuring effort grows out of the vision created to reflect the realities of the community it serves, certain elements appear to be common to most of the current restructuring efforts:

1. School goals and activities are designed to meet the needs of all students with a special attention to those at-risk.
2. There is a decentralization of authority from the district to the school.
3. All constituencies are actively involved in the school community through shared decision making.
4. Collaboration and cooperation are evident in the changed relationships throughout the system.

5. Training is emphasized as an essential ingredient to ensure that the challenge of new roles and ways of operating do not become obstacles to progress.
6. The educational climate encourages creativity and risk-taking in searching for better ways to meet the needs of the school community.

The restructuring perspective encompasses a number of major elements: decentralization of authority and resources to allow those at the implementation level to make decisions and carry them out, shared decision-making processes that include those persons with information pertinent to a decision and those persons whose commitment will be needed to carry out the decision, and professionalizing education so that administrators and teachers can use their knowledge and skills to develop student-centered schools. As a number of United States companies have discovered, organizational structure can either foster or diminish the enthusiasm, creativity, and commitment of employees. The restructuring perspective is based on the premise that the educational system can develop "structural devices, systems, styles, and values, all reinforcing one another, so that [schools] are truly unusual in the ability to achieve extraordinary results through ordinary people" (Peters & Waterman, 1982, pp. 238-239).

The following sections of this document discuss the promise and reality of school-based management, a popular alternative to the traditional, centralized organization of the system; examine shared decision making, the critical factor in successful implementation of school change; present the results of an SEDL survey on the barriers encountered when districts implement shared decision making; and recommend four courses of action to ensure successful implementation of school-based management and shared decision making.

Section Two
What Alternative Practices are Being Tried?

School-Based Management

The Concept of School-Based Management

School-based management is a prominent feature of many restructuring efforts. Decentralizing decision making and resource allocation to the school site is similar to unit-based management in the private sector -- a strategy which has become increasingly popular in industry in the United States during the past ten years. Organizational restructuring in business and industry is based on the recognition that the traditional organizational model cannot respond to a diverse and changing market quickly or effectively and must be replaced by an "adaptive" model (Toffler, 1985). As Robert L. Callahan, president of Ingersoll Engineers Inc., has stated, "Forget the organizational structure we've used for 300 years. Simply put together people who can get the job done, regardless of their function" (Port, 1989).

Restructuring in business organizations is often accomplished through unit-based management in which self-managing units exercise considerable decision-making authority over how group tasks are structured and performed within the larger organization. Shanker (1990, p. 351) provided an example from the United States auto industry to illustrate the effectiveness of this strategy. Auto makers found that, despite the fact that they were making more and better cars in 1975 than they had in 1950, the Japanese were gaining increasingly larger shares of the market. U.S. auto makers placed the blame on inefficient and unmotivated workers who needed to be fired or told exactly what to do and made to work harder. The auto makers also complained about the quality of the raw materials and poor public relations. After they saw the excellent results Toyota got when it reopened a notoriously bad auto plant in Fremont, California, with the same "poor" raw materials and "recalcitrant" union workers but with a different production process, different relations between workers and managers, and a different auto design, they began to rethink and restructure their own system. It is easy to see a number of parallels in education.

Two critical organizational problems that unit-based management was designed to solve in industry are apparent in the educational system as well: the structural inflexibility of the traditional management model and the inefficiency of hierarchical decision making. The first difficulty is that there is a mismatch between the structure of the traditional bureaucratic organization and the types of problems faced by schools today. Organizational components that have been created to perform specific tasks and respond to predictable needs are dysfunctional in a school/community environment characterized by accelerating change and diverse, unpredictable problems.

The second problem is that organizational efficiency is limited by the nature of strict vertical hierarchy. Hierarchical control is efficient under conditions requiring relatively homogeneous types of decisions and accurate feedback to the decision maker. The educational environment today demands more varied and rapid responses from decision makers. There is "less time for relevant information to flow up the various levels of the hierarchy or for top managers to accumulate a great deal of experience with any one kind of problem" (Toffler, p. 121). Organizational flexibility to improve outcomes in the face of massive changes can only be realized by maximizing the use of professional expertise at all levels and the involvement of all the school community.

Although there are significant differences in both mission and "client" between private and public sector organizations, they share a need to meet organizational goals for improvement in ever-changing environments. Since change must occur at the most local level of operation, effective leadership in either a business organization or a school requires the recognition that nothing will change unless the people in that organization *buy into it*. Carnoy and Levin (1985) suggested that participative strategies have been adopted in business because of the greater number of better-educated workers who have higher expectations for involvement in work. This has significant and far-reaching implications for improving the management of schools where teachers are highly educated but usually separated from decision making (Benson & Malone, 1987).

Excellent organizations establish internal structures that build intrinsic motivation and create in people the belief that their job is inherently worthwhile and will make some difference (Levine, 1986). Well-run companies can be distinguished from mediocre ones by examining the quality of their leadership. Leadership in well-run companies is directed toward developing environments that empower people by helping them function more effectively (Levine, 1986). Unit-based management is a response to the recognition that there is a significant relationship between providing authority to employees at the work site and achieving the organization's ultimate goal -- improved outcomes (i.e., products or services).

The Rationale for School-Based Management

School-based management is a response to the need for an adaptive organizational model in education that forges the critical link between school-site authority and improved student learning outcomes. Rationales for implementing school-based management typically focus on the goals and strategies related to achieving and managing school-site authority while the ultimate desired outcome -- improved student learning -- remains implicit. In any educational endeavor, a change in the quantity or quality of student learning demands change in educational "inputs" -- curriculum, teaching methodology, teaching arrangements, and/or resources (e.g., staff, technology, content materials). The rationale for school-based management in this paper is based on the assumption that the strategy affects the conditions of school administration, teaching, and learning.

School-based management formally alters school governance arrangements. Decision-making authority is redistributed for the purpose of stimulating and sustaining improvements in the individual school (Malen, Ogawa, & Kranz, 1989), resulting in an increase in authority of staff at the school site. When decisions are decentralized to the school site, school personnel have a means of controlling and correcting overall school operations in order to meet the ultimate goal -- student success in learning. Many of the terms used to describe school-based management illustrate this shift in authority -- school-site autonomy, school-centered management, school-based governance, decentralized management, administrative decentralization, school-site management, shared governance, self-managing school.

Charles Schwahn, former superintendent of Eagle County Schools, Vail, Colorado, described a number of benefits of school-based management at an SEDL-sponsored conference in Ruidoso, New Mexico, in October 1989. During Schwahn's superintendency, the Eagle County Schools initiated "unit-based management" and successfully implemented the effort for more than five years. Schwahn asserted that "unit-based management" resulted in the following:

- better, more effective decisions;
- more highly motivated employees;
- accountability at the appropriate level;
- facilitation of professional growth;
- more flexibility for change to occur;

- a redefinition of job descriptions; and
- an increase in productivity.

The Prevalence of School-Based Management

School-based management has been used in isolated sites for a number of years. For example, Chesterfield, Missouri has employed school site autonomy for 34 years, and a program established in 1976 in Edmonton (Alberta), Canada, is considered prototypical. In the past few years, the number of sites implementing school-based management has increased dramatically. In 1988, Clune and White identified 51 districts engaged in various school-based management programs. In a 1989 review of the literature, Southwest Educational Development Laboratory identified schools and districts in 172 locales in the U.S. and Canada that are in the planning or implementation stage of school-based management, and the list is far from exhaustive.

School-based management initiatives come from a variety of sources, ranging from labor/management agreements to professional association efforts to broad-based coalitions of education, business, and philanthropic organizations. Local affiliates of the American Federation of Teachers (AFT) have been instrumental in establishing school-based management in a number of districts, including the groundbreaking efforts in Dade County, Florida; Hammond, Indiana; and Rochester, New York. Both major national teacher associations sponsor initiatives that support over 60 site projects nationwide. The National Education Association (NEA) initiated two projects that focus on school-site change (Mastery in Learning and Team Approach to Better Schools) and one project that encompasses changes at the district level (the Learning Laboratories Initiative). AFT supports a number of local teacher-led reforms through its Center for Restructuring. Administrator professional organizations are also actively preparing their memberships for the new roles and responsibilities that school-based management will entail. For example, the American Association of School Administrators (in cooperation with AFT, NEA, and the National Network for Education Renewal) conducted training sessions for district vertical teams on the new roles for central offices required by site-based decision-making.

Finally, partnerships among universities, teacher and administrator associations, business and community organizations, and private foundations and organizations are providing opportunities for schools and districts to plan and implement reforms that often include elements of school-based management. For example, the New Hampshire Alliance for Effective Schools (a coalition of 18 public and private organizations) launched its School Improvement Program in June 1988 with 10 schools. The program prospectus described a process that included the formation of a school-based team at each pilot school to design and implement a yearly action plan unique to that school's needs for improvement.

There is also increasing state-level interest in school-based management. Widespread interest began when school-based management was recommended by the Fleischmann Commission in New York State in 1971 and by the Florida Governor's Citizen Commission in 1973. As early as 1975, the California legislature enacted the School Improvement Program (SIP) that contained school-based management components. Currently, Florida's legislature explicitly encourages school-based management through the provision of incentive-grant funds for restructuring efforts. Washington's state legislature has mandated many school-based management procedures for its schools (Guthrie, 1986). Minnesota began its decentralization effort with the development of a state mission statement in 1985, followed by the establishment of a task force in 1988 to redesign the state educational plan. In 1989, the legislature funded outcomes-based pilots that focus district authority on meeting the state-established mission and goals. The South Carolina reform initiative in 1984 included decentralization measures and resulted in a June 1989 deregulation law that encourages school-based management ("South Carolina to Free Good Schools...", p. 26, 1989).

The Promise and Reality of School-Based Management

As interest in school-based management grows and the number of implementations increase, the gap between the strategy's potential and its realization is being explored. Reports of success (Harrison, Killion, & Mitchell, 1989; Rosow & Zager, 1989; *Ventures in Good Practice*, 1989) are countered by reports of "unfulfilled promises" (Wood, 1984; Malen, Ogawa, & Kranz, 1989). A review of the literature, including a survey of over 30 school-based management sites by Clune and White (1988), suggests three major arguments in support of the potential for school-based management to improve student learning outcomes. The arguments suggest that the strategy holds promise for:

- increasing the use of teacher expertise and initiative,
- increasing the involvement of parents and the community in the schools, and

- increasing school effectiveness and student academic outcomes.

The "realities" discussed in the literature offer little evidence that current implementations of the strategy are consistently producing any of the above outcomes. Both proponents and opponents of the strategy describe similar problems related to fully achieving school-based management and maintaining the strategy at the school site. Among the findings are the following:

1. Teachers rarely exercise professional expertise in significant issues outside the classroom related to instructional improvement.

2. Teachers, parents, and community participants tend not to identify significant instructional modifications or innovations during the first years of operation.

3. Teacher morale and motivation may increase in initial stages of implementation, but soon return to depressed levels.

4. Parent and community satisfaction and involvement also may increase in initial stages of implementation, but soon decline.

5. Traditional attitudes, behaviors, and relationships tend to persist.

Such reports are discouraging if interpreted as true measures of the ability for school-based management to realize its potential. However, a more critical examination of specific implementation problems suggests another interpretation. There are certain conditions that inhibit the traditional school organization and culture from maximizing the potential of the strategy. School-based management requires the restructuring of authority and decision-making arrangements in the school and district. Most of the problems reported by researchers and practitioners focus on the difficulties in achieving and maintaining these new arrangements.

The following sections describe the three promises of school-based management introduced above, report the realities of implementation thus far, and then discuss two authority issues central to the success of the strategy.

Increasing the Use of Teachers' Professional Expertise and Initiative

The Promise. School-based management is based on the belief that members of the school have the expertise and initiative to improve the instructional program and the school climate. As Guthrie and Reed (1986) pointed out, participation in organizational decision making by individuals who will be affected by the decision and who are knowledgeable about the area in which a decision is to be made has several advantages:

- Participation in the decision-making process is valued when groups or individuals believe there is potential for real influence, and not just token or passive involvement.
- Where there is group participation, feelings of satisfaction are enhanced, creativity is encouraged, and participants' commitment to the decision is strengthened.
- The quality of the decision is generally improved by the input of different perspectives and by the larger numbers of alternatives that can be generated and analyzed.

Thus, the inclusion of teachers in school leadership, decision making, and problem solving is expected to ultimately improve outcomes for students for two reasons. First, the strategy directly engages the expertise of those involved in implementing the school program. Second, it provides teachers an incentive to use their initiative.

School-based management engages the expertise of teachers by giving them "the authority, responsibility, information, freedom, autonomy, support, and resources they need to perform those duties usually reserved for school administrators" (Lewis, 1989, p. 20). The expansion of teachers' roles and responsibilities enables them to more fully use professional expertise and judgment to guide the school's educational program. Proponents suggest that, in this way, the strategy directly stimulates instructional improvement (Malen et al., 1989) that, in turn, enhances student learning.

School-based management gives teachers an incentive they value. Proponents of school-based management claim that the strategy builds professional confidence and motivation, both of which have been seriously impaired over the last decade. "Having input into policy making and participating in educational decision making" was included among the highest ranked incentives in a study conducted by the Newark, New Jersey, school system (Azumi & Lerman, 1986). The incentive for teachers inherent in school-based management translates into enhanced employee morale and motivation (Malen et al., 1989).

People who solve problems develop a sense of commitment to and concern for the organization. If people have invested in decisions, they have a stake in helping to make solutions work. Conversely, uninvolved people may have a stake in seeing solutions fail. Participatory management patterns -- talking to, listening to, and involving people -- not only tap the resources of personnel to solve specific problems, but engage their willing cooperation and commitment (ASCD, 1985).

The Reality. The reality suggests that there are four conditions that appear to inhibit school-based management from fostering increased use of teachers' professional expertise. These include the following, each of which is described in greater detail below:

1. There are limited opportunities for teachers to exercise expertise in issues central to instructional improvement (the work of the teacher).
2. The low degree of teacher morale and motivation contributes to their distrust of new initiatives.
3. Teachers lack experience as innovators.
4. There are hierarchical and/or resource constraints (particularly limited time in the professional day).

Clune and White (1988) reported an increase in teachers' influence in organizing and coordinating school programs. The sites they studied generally reported that teachers acquired better skills in working effectively in groups and experienced increased communication and cooperation with colleagues, parents, and other community members. However, they found that the strategy did not initiate major changes in roles and responsibilities (Clune & White, 1988). Malen, Ogawa, and Kranz (1989) reported that teachers were primarily involved in decisions only on issues that were peripheral to fundamental instructional content or methodology. Thus, the first condition that inhibits school-based management from increasing the use of teachers' expertise is *limited opportunities for teachers to exercise expertise* in issues central to instructional improvement.

The resistance of school administrators to sharing their authority may be a major factor in limiting opportunities for teachers to exercise expertise and initiative. In their research on principals' coping mechanisms, Crowson and Porter-Gehrie (1980) found a tendency for principals to be wary of any reduction of their control over the work environment. Principals (both high school and elementary) appeared to delegate very little responsibility to subordinates. Given the ever-present potential for crises, accidents, mix-ups, and disturbances, many principals seemed to be most reluctant to trust others with decision prerogatives. Indeed, the professional role of the principal -- not the teacher -- appears to be the one most expanded by school-based management. Principals experience an increase in authority and responsibility in three areas: "more involvement in the school program, more involvement in shared governance, and a higher level of responsibility in district decision making (e.g., budgets)" (Clune & White, 1988).

The second condition is the *low degree of teacher morale and motivation*, which contributes to their general distrust of new initiatives. The increase in state regulation of education has been viewed by many as an overt discounting of educators' expertise. "Constant criticism and ridicule have eroded professional confidence" (Deal, 1986, p. 126). When decision-making domains are limited or ambiguous, as described above, the impotence perceived by teachers has a negative effect on motivation and morale and may even produce a backlash of resentment and cynicism.

Malen, Ogawa, and Kranz (1989) found that the relationship between increased teacher morale and motivation is affected by several factors. These factors include the degree of the individual teacher's desire for involvement, the importance of the issue being decided, the amount of genuine influence individuals can exert, and the extent to which involvement is seen as merely a symbolic gesture. If individuals who desire greater involvement cannot address issues important to them, have some assurance that their contributions are valued, and believe they have a real opportunity to influence substantive decisions, then they will perceive their involvement as a waste of time.

Symbolic participation is one reason why teachers are often reluctant to participate in professional partnerships and resist serving on school decision-making committees. A study by Duke, Shower, and Imber (1981) investigated the reasons for teachers' reluctance to become involved in school decision making when opportunities for responsibility were offered to them. The study found that one reason for teacher reluctance was the awareness that the time and effort spent in decision-making activities frequently did not result in any meaningful influence. Teachers may have been *involved* but they had little *influence*. When participation is little more than a ratification of decisions already made by someone else, it is unlikely that teachers will have further interest in involvement (Benson & Malone, 1987).

In reporting the conditions under which participation seems to work and not work, Firestone and Corbett (1988) observed:

> The way participation is structured affects staff sentiments. *Over-control* by administrators leads to *mock* participation. This occurs when teachers are told they will have influence, and input may actually be solicited, but the final decision does not reflect their input. This tactic provokes anger and distrust. Participation requires a real sharing of control. *Under-control* results when administrators announce an innovation's adoption but drop planning and execution in the teachers' laps. Teachers, then, plan in a vacuum with little administrative guidance or support. Often teachers cannot contact key administrators to obtain clarification, resources, or changes in regulations or procedures needed for successful implementation of decisions.

The third condition that inhibits school-based management from fostering increased use of teachers' expertise and initiative is *teachers' lack of experience as innovators.* Since the adoption of the first textbook and the advent of standardized curricula, the teacher's role has been that of implementer, not innovator. Innovation requires the ability to question what *is* and suggest what *is not*. Innovation requires a willingness to take risks in order to "do things differently" and the courage to take responsibility for the results. Teachers have rarely been rewarded for or given opportunities for developing the skills and attitudes necessary for innovation.

Robert McClure, Director of the National Education Association's "Mastery in Learning Project," discussed this problem at a workshop sponsored by the American Association of School Administrators in Phoenix, AZ, in October, 1989. He described the initial tendencies identified among faculties involved in their first year of the NEA Mastery in Learning (MIL) project. Among the tendencies identified, teachers (1) accepted external mandates as standard operating procedures, (2) were reluctant to question established instructional "technologies" (i.e., textbooks, tests, methodologies), and (3) generally avoided risk-taking in the development of their school improvement plans. Malen, Ogawa, and Kranz (1989) also found no significant instructional adaptations or innovations even at sites where teachers enjoyed formal authority for instructional improvement.

Finally, there are a number of *hierarchical and/or resource constraints* that serve as barriers to increasing the use of teachers' expertise and initiative. Increased authority at the school site is not always accompanied by release from highly restrictive district or state regulatory requirements, and school-based management is frequently implemented without accompanying supportive changes in the professional life of teachers. Participation in school-based management exacts a toll on people in terms of time and resources required to participate, to develop new knowledge and skills, and to see results. The time and resource factors are exacerbated when participation takes the form of additional rather than "in lieu of" professional activity, yet that was the case in many of the sites examined by Malen et al. (1989). As Firestone and Corbett (1988) observed:

> Participation takes time. It does not routinely build ownership and a sense of commitment to change. When planning and decision making infringe on other staff obligations, participation becomes a cost rather than a benefit. Few staff members have sufficient time to accomplish the numerous tasks already assigned. Any additional responsibility is likely to impinge on other valued activities. Freeing the teacher from classroom duties through proctors or substitutes does not necessarily reduce this cost. If the project becomes a source of dissatisfaction, the commitment to it will drop concomitantly.

Indeed, Malen, Ogawa, and Kranz (1989) concluded that "in many cases, the shortage of resources (time, technical assistance, financial reserves) merges with views of regulations in ways that prompt site participants to develop plans to keep their day-to-day operations intact" (p. 14).

Achieving Increased Involvement of Parents and the Community

The Promise. "Sustained school reform requires the active involvement of educators at the building level" (Guthrie, 1986, p. 306). School-based management is based on the broader assumption that deep and long-lasting school reform requires the active involvement of *all* stake-holders in the educational process. Advocates of school-based management contend that the strategy can produce better student outcomes by increasing the involvement of parents and the immediate community.

Most schools that are implementing school-based management use some form of advisory council as the site decision-making body. The council model explicitly acts on the assumption that the school will benefit from enabling site participants to exert influence on school policy decisions (Malen et al., 1989). School councils vary from those composed only of the school-site administrator and teacher representatives to those composed of parents, business or community representatives, and district staff as well as various school staff. The ability for school-based management to increase involvement of parents and the community in their local school promises to harness the energy of those in the learning community in a joint and concerted effort toward improving learning opportunities and outcomes for all its children.

The Reality. A review of the research suggests that the involvement of parents and the community in school-based management is inhibited by certain conditions that include the following:

1. inadequate distribution of authority among participants,
2. traditional norms and behaviors that are not conducive to the new roles and relationships required by school-based management, and
3. lack of sufficient resources (particularly time and training).

There are a variety of patterns of authority distribution among school site participants. Generally, site authority is broadly distributed among principals, teachers, parents, and others who comprise the school council, committee, team, or board formed for the purpose of directing school management (Malen et al., 1989). However, researchers note that school-based management plans range from giving all authority to the principal (with "participation" of other members encouraged but not required) to distributing dominant authority to teachers and parents/community members. Plans that specifically establish councils may designate all members as equal partners or may designate the principal as "key actor" with other members as advisors.

Although the formal distribution of authority among school-site participants varies, the outcome reported in most studies was a low degree of teacher and parent influence on school policy decisions. Malen et al. (1989) identified three typical patterns of control. The first was described as limited or peripheral influence, with school-based management teams responsible only for peripheral issues or able to function only as advisors or endorsers of decisions already made. The second pattern of control was predominance of the leadership of the principal through overt or informal control of a principal/staff council. The third pattern was one in which professionals controlled a principal/staff/parent council, but it still tended to include the maintenance of traditional roles of principal-as-policy-maker and teacher-as-instructor.

The value of participation, with or without decision-making authority, has been debated. For example, classic organizational theory is cited by some to describe absolute limits to the "sharing" of authority (Conley, 1989). These theorists assert that it is the informal power of influence that is the underlying issue in participatory management in schools. The schools may indeed already be experiencing a redistribution of informal power (influence), as seen in initial increases in teacher and parent/community participation at the school site. However, opportunities to provide *input* in decisions and *authority* to make the decisions are not the same. Input into decisions has been found to initially enhance morale and motivation and stimulate efforts toward school improvement, but Malen et al. (1989) reported a clear decline in satisfaction and involvement by teachers and parents after the "initial, energizing effects" have worn off. Ultimately, *limited delegation or distribution of authority* inhibits the ability of school-based management to sustain increased involvement of parents and the community.

The second set of conditions that inhibits school-based management from increasing the involvement of parents and community is the array of *traditional norms and behaviors* that do not support change toward greater involvement in decision making at the school site. Even at those sites where a satisfactory distribution of formal authority has been established, informal norms regarding the roles and relationships between "school people" and parents and community members can "keep agendas confined to marginal matters and conventional influence relationships intact" (Malen et al., 1989, p. 8).

Finally, increased involvement of parents and the community is not always supported by the *resources* necessary to create new norms, "learn" new behaviors, and make the personal and interpersonal changes required by school-based management. Districts or other school-based management sponsors "rarely infuse councils with critical resources [such as] time, technical assistance, independent sources of information, continuous, [or] norm-based training" (Malen et al., 1989, p. 8). There is a particular lack of enough time to create an "environment of change" (Clune & White, 1988, p. 28).

Improving School Effectiveness and Student Achievement

The Promise. Proponents contend that school-based management can increase a school's effectiveness and produce high student achievement (Malen et al., 1989). The individual school has been identified as the place where change can most readily and effectively produce positive student outcomes. School effectiveness has come to be identified with the findings of the first "effective schools" research, conducted in the early 1970's in an attempt to identify school practices that produce positive student learning outcomes. Researchers who examined low socio-economic, urban schools with unexpectedly high student achievement identified the presence of certain school-site characteristics. National dissemination of the effective schools characteristics, particularly a five-factor model developed by Edmonds (1979), has led to broad interpretation of the research. There is now widespread belief among practitioners that the development of effective school characteristics within a school will increase student achievement.

In school-based management, the authority and discretion delegated to the site is said to enable the individual school to focus attention on issues central to improving the performance of its particular student population. In the context of the above interpretation of the effective schools research, school-based management can facilitate a school's development of the effective school characteristics and ultimately increase its students' achievement. Many who seek to apply the effective schools research to educational practice place special emphasis on one of Edmonds' five "correlates" -- strong instructional leadership of the principal. The leadership of the principal is said to be essential in the development of the other school-site characteristics. This correlate provides direct support for school-site -- or principal -- autonomy in developing and implementing school improvement plans.

The Reality. Few school-based-management sites show evidence of achieving the status of overall school effectiveness, either in an increase in "effective school" characteristics or in clear or significant increases in student achievement scores. This appears to be the result of the following conditions:

1. hierarchical and/or resource constraints, and
2. inadequate or inappropriate measures of student assessment and program evaluation.

Malen et al. (1989) reported no clear or consistent link between school-based management and the presence of effective school characteristics. Though Clune and White (1988) found that the principal's role expands greatly under school-based management, Malen et al (1989) found that factors related to capacity "appear to be at least as important as factors related to autonomy, or more precisely, the formal delegation of decisionmaking authority" (p. 16). *Hierarchical and/or resource constraints* to school-site activity may be dominant factors in this finding. Many of the sites were constrained by state and/or district regulations or, when legal constraints were lifted, experienced no accompanying modification of other structural constraints (i.e., no changes in the amount of training, technical assistance, or resources) to increase schools' capacity to support the development of effective school characteristics.

The second condition inhibiting the improvement of school effectiveness and student achievement appears to be the use of *inadequate or inappropriate measures of assessment and evaluation* by schools and districts. Studies that include a systematic examination of the link between school-based management and student achievement focused on achievement test data as the sole measure of outcome. A much broader array of student assessment and program evaluation measures has recently been recommended as appropriate for inclusion in annual planning and performance reports produced by individual schools (Guthrie, 1986; "*Working Together...*," 1988). Measures include absenteeism, dropout rates, incidence and type of disciplinary action, students' "downstream" performance (e.g., high school grades and rates of college attendance), courses in which students enroll, and staff development and post-graduate work undertaken by teachers.

The literature indicates that most project descriptions and status reports seldom provided a tight evaluation component to measure the contribution of school-based management to change in student performance on achievement tests. Clune and White (1988) reported that the sites they surveyed set and monitored yearly school-site plans to measure progress on implementation objectives but not product (i.e., student outcome) objectives. They recommended that future research should make a "serious effort to measure a set of effects (both process and outcomes: student achievement as well as participant satisfaction, sense of empowerment, degree of implementation difficulties)" (p. 31). Malen et al. (1989) also recommended continuous, systematic assessments of school-based management implementations, including the relationship between the strategy and student achievement.

Achieving and Maintaining School-Based Management: Issues of Authority

As noted above, school-based management holds out the promise of increasing the use of teachers' professional expertise and initiative, increasing the involvement of parents and the community in schools, and increasing school effectiveness and student academic outcomes. The realities of current implementations reveal that the potential of school-based management to maximize the contributions of teachers, parents, and the community is inhibited by a number of conditions related to authority. When the implementation of school-based management limits teacher authority to decisions in areas over which they already have influence or to decisions in areas peripheral to the teaching and learning arena, the results are a minimal increase in use of expertise, maintenance of traditional roles, minimal instructional innovation, and decline in morale and motivation. When the implementation of school-based management denies authority to parents and community members by giving them advisory or endorser status, the results are maintenance of traditional roles and a decline in participation. The third promise -- increasing school effectiveness and student academic outcomes -- appears to be affected by other structural issues (district and state regulations, resource constraints, and assessment and evaluation measures) that will be discussed more fully in the next section.

Researchers have confirmed that misconceptions and unresolved difficulties related to authority generally result in negative consequences. In the case of school-based management, participant frustration and a reversion to traditional practices are common findings (Malen et al., 1989). Such findings cause some researchers and practitioners to doubt the ability of school-based management to effect significant change in the schools. However, another interpretation of this dilemma is aptly described by Wood (1984, p. 60): "When work group members state that participatory decision making does not work because their input seems to be ignored, they may in fact be 'appraising a non-event.' It may be that participatory decision making does not work in these instances because it was never actually attempted."

A school that intends to fully implement school-based management must first ask two essential questions regarding authority: "what authority is delegated to the site?" and "how is authority distributed among site participants?" The answers to these questions will determine whether the site successfully implements the strategy and whether the community's students and adults benefit from the promises of school-based management.

Clarifying Site Authority

Schlechty and Joslin (1986) suggested that only two authority elements must remain *centralized*: the "establishment and articulation of superordinate goals" and "responsibility for bottom-line results" (pp. 158-59). On the other hand, the "how" between the goals and outcomes can only be *decentralized*: "problem solving is best left to those whose hands-on experience and expertise provide them with the advanced knowledge to invent novel solutions" (p. 159). A school system fully engaged in school-based management will decentralize authority to the greatest possible extent and provide broad discretion to the site. As Caldwell and Spinks (1988) propose, the individual school becomes the fundamental decision-making unit within the educational system and, subsequently, authority is redefined throughout the system. The state and district set broad goals and standards and provide resources, but the employment of resources and the path toward achievement are determined by school-site participants.

Having full authority over personnel and resources enables the site to "integrate goal-setting, policy-making, planning, budgeting, implementing, and evaluating in a manner that contrasts with the often unsystematic, fragmented processes which have caused so much frustration and ineffectiveness in the past" (Caldwell & Spinks, 1988, pp. 3-4). Full authority at the site enables the school to realize two major benefits ascribed to school-based management: a strengthening of the quality of planning (Malen et al., 1989) and a more efficient use of resources (Clune & White, 1988). Another benefit of the school site being given full authority is increased flexibility in responding to the needs of students and the community. Broad authority permits a quicker reallocation of both human and material resources in response to changing needs at the site. Furthermore, there is a strong link between the ability for the school site to be responsive and the ability for it to be fully accountable for student outcomes (Pierce, 1977).

The delegation of decision-making authority varies widely among sites currently implementing school-based management. Many school-based management efforts do not delegate full authority to the site. Both Malen et al. (1989) and Clune and White (1988) identified three decision-making domains: budget, personnel, and curriculum (program). School-based management plans that included specific guidelines for decision-making authority emphasized the delegation of authority over different domains and even different aspects of a single domain rather than over all three of the domains. The degree of site discretion within an environment of state statutes, district regulations, and contractual agreements also varied widely. Plans ranged from allowing no discretion (i.e., compliance with existing rules is expected), to providing a temporary lifting of some district or contractual regulations, to instituting a formal waiver system.

Another study of school systems that are implementing school-based management revealed a similar diversity among sites (Richardson, 1986). Richardson found that the major difference between the districts he surveyed was in the *degree of delegated authority*. Minimal delegation of formal authority was found in Cincinnati, Ohio, and Salt Lake City, Utah, where the goal of site-based management appeared to be primarily to increase community involvement at the school site. Somewhat more authority was delegated to the school site in Cleveland, Ohio, where principals were given authority over planning the allocation of all non-personnel funds in the school budget. Considerable authority was delegated to principals in St. Paul, Minnesota. Principals appeared to be fully responsible for staff and instructional improvement at the building level. As such, they were given the authority and resources to customize staff development to meet the school's unique needs. One result of the authority shift in St. Paul was a redirection of central office staff to provide support to school site initiatives and monitor outcomes.

Distribution of Authority Among Site Participants

The second question, "how is authority distributed among site participants?," is equally critical to the success of the strategy. A state or district's delegation of full authority to the school site cannot, in and of itself, release teachers' expertise nor increase parent and community participation. If the goal of school-based management is to maximize the potential of a *school community* to improve learning outcomes for its students, then the authority delegated to the school site cannot reside with the principal alone. The greatest possible distribution of authority at the school site is required. Site authority must be shared.

The importance of sharing decision-making authority is supported by a broad spectrum of literature. In a position paper from the field of human resource development, Glaser and Van Eynde (1989) discussed concepts central to the long-term development of effective organizations and contended that all are most successful and "correct" (i.e., ethical) when manifested in a participative-management environment. The report of the National Commission on Excellence in Educational Administration (UCEA, 1987) recommended a dramatic change in the organization of the schools, the relationship among teachers and administrators, and the components of their work. The Commission suggested that changes will be required in the way schools actually operate so that teachers will play significant roles in helping to formulate and implement educational policies affecting the instructional program. One goal of the recommendations is for schools to foster collegiality so that teachers and administrators share in planning, implementation, evaluation, and learning together. Conley (1989) cited support for school-level collegiality and participative decision making in recent actions by such groups as the Carnegie Task Force on Teaching as a Profession, the Holmes Group, and the National Association of Secondary School Principals/National Education Association.

The research indicates that principals of effective schools include staff members in decision making and problem solving. Administrators of effective schools do not exercise instructional leadership alone. Such leadership is often the collective task of the principal along with other members of the organization (Croghan & Lake, 1984; DeBevoise, 1984; Gersten & Carnine, 1981; Hall, Hord, Huling, Rutherford, & Stiegelbauer, 1983; Leithwood & Stager, 1986; Stringfield & Teddlie, 1987). The Heritage Foundation surveyed the principals of 65 secondary schools honored in 1983 by the United States Department of Education for excellence in education. The survey asked the principals what leadership factors they considered the most critical in running their schools effectively. Topping the list -- mentioned by

80% of the principals -- was faculty participation in decision making. As one principal noted, collective decision making takes longer, but the resulting decisions stand firmer, last longer, and gain greater acceptance ("Effective principals work hard...", 1984).

Shared Decision Making

Shared decision making is also referred to as "participatory decision making" in the literature. Participatory decision making is a collaborative approach in which "superordinate" and "subordinates" work together as equals to "share and analyze problems together, generate and evaluate alternatives, and attempt to reach agreement (consensus) on decisions. Joint decision making occurs as influence over the final choice is shared equally, with no distinction between superordinate and subordinates" (Wood, 1984, p. 61).

There are many benefits ascribed to participatory decision making. The following advantages, gleaned by Wood (1984) from an extensive review of the literature, illustrate the influence that shared decision making has on participants and the organization:

- high quality of decisions,
- improved employee satisfaction or morale,
- commitment,
- productivity,
- a reduction in resistance to change, and
- a reduction in absenteeism.

An equally positive impact of shared decision making on student learning is recognized by Darling-Hammond (1988), who asserted that research has confirmed the value of faculty decision making and that "participatory management by teachers and principals, based on collaborative planning, collegial problem solving, and constant intellectual sharing, produces both student learning gains and increased teacher satisfaction and retention" (p. 41).

Finally, there is a belief among many that shared decision making is simply the "right way in which to do the right things." The United States must develop a participatory culture to maximize the use of technology and information in order to survive as a world-class culture into the 21st century. "If that is to occur, schools will have to transform themselves into participatory organizational cultures" (Parish, Eubanks, Aquila, & Walker, 1989, p. 393). Sashkin termed this transformation an *ethical imperative* (cited in Lewis, 1989).

There is growing recognition that shared decision making is a component critical to the success of school-based management. The AFT Center for Restructuring contends that "school-based management will more likely meet its goals when it is coupled with meaningful shared decision-making" ("School-Based Management," 1988, p. 5).

A number of school districts explicitly link school-based management with shared decision making. Rosow and Zager (1989) cite eleven case studies of districts and individual schools currently engaged in reform efforts that include shared decision making. Teachers in Los Angeles, California, gained a contract provision in May 1989 guaranteeing them 50 percent membership of the district's school-site governing councils. The new councils are teacher/parent/principal collaboratives that share power over staff development, student discipline, some class scheduling, use of school equipment, and each school's budget. In Boston, Massachusetts, the creation of school-site councils at each of the district's 123 schools is a central component of the new district/union three-year contract. Composed of parents, teachers, and principals, the councils are charged with setting educational goals, designing instructional programs, managing the budget, hiring staff, scheduling, and enhancing parent relations at the school level (*Education USA*, June 5, 1989).

An important component of Monroe County, Florida's school-based management implementation is a team approach to management at both the school and district levels. Dade County, Florida, explicitly linked school-based management and shared decision making in the development of its 1987 pilot project. The districts in both Monroe County and Dade County appear to consider shared decision making critical to their comprehensive goal for school-based management -- school-level control of and accountability for educational resources, programming, and outcomes (Richardson, 1986).

When one considers the wide difference between behaviors practiced in hierarchical organizations and those required in participatory organizations, it becomes evident that implementing shared decision making in school-based management requires changes in traditional attitudes and behaviors on the part of people throughout the school community. Districts choosing to implement these changes will encounter a variety of impediments.

The Southwest Educational Development Laboratory (SEDL) conducted a survey of educational practitioners in 1989 to examine the barriers to changing traditional behavior experienced by practitioners who have initiated shared decision making in their schools and districts. The following section describes the SEDL survey and discusses its findings.

Section Three
What Are the Barriers to Changing Traditional Behavior?

The Southwest Educational Development Laboratory (SEDL) developed and conducted a survey in 1989 of educational practitioners currently implementing one or both of the alternative school management practices discussed above: school-based management and shared decision making. The goals of the survey were to identify the difficulties that confront the traditional school culture when initiating shared decision making and to develop a set of recommendations to support schools and districts choosing to initiate shared decision making as part of any change strategy.

SEDL Survey Methodology and Results

A direct survey method was employed. A written survey instrument was developed, consisting of three open-ended questions:

1. What were the major difficulties you encountered or observed in trying to change traditional behavior when initiating shared decision making?

2. What types of training activities do you feel are necessary to successfully initiate shared decision making?

3. What training resources or programs have you used that you would recommend?

A review of the literature, including reports from national education organizations, foundations, and networks, was conducted to identify schools and districts currently implementing shared decision-making and/or school-based management efforts. Between July 1 and September 15, 1989, survey instruments were mailed to 230 site personnel in 172 districts in the United States and Canada. As of October 1, 1989, the survey yielded a 30% rate of return (n=69; see Appendix A for survey respondents). Limitations to the methodology of this study include:

- The limitation of respondents to those in traditional decision-making roles: 135 principals, 90 central office staff (primarily superintendents and school improvement program directors), and only 5 teachers. Sites were selected on the basis of appearance in the literature or association with a national network or sponsor, and many surveys were addressed only to "Principal" or "Superintendent." The assumption was that a site identified in the literature as actively implementing school-based management and shared decision making would only be doing so with the support, if not the active participation, of a key administrator. This limitation, however, precluded us from obtaining the perspectives of other site participants such as teachers and parents who may have provided a different profile of responses.

- The limitation of self-selected respondents. The 30% of the survey recipients who responded may have biased the data in one direction or another. Although a second request was mailed to non-respondents, there was no attempt to obtain a forced set of responses through telephone contacts to strengthen the data provided by those who voluntarily responded.

A content analysis was performed on the data provided by survey question one (N=63). Approximately 20 difficulties were identified as frequently encountered or observed by respondents when initiating shared decision making. Two analysts categorized the data and eight major barriers to changing traditional behavior were derived from an analysis of these data. Results were then organized by category and tallied to determine frequency of response (see Appendix B for survey summary data and graphs). In descending order according to frequency of response, the eight barriers are:

- resistance to changing roles and responsibilities
- fear of losing power
- inadequate or inappropriate resources
- lack of definition and clarity
- lack of skills
- lack of trust
- lack of hierarchical support
- fear of taking risks

Responses to survey question two (N=60) were similarly analyzed to describe the type of training activities practitioners found to be necessary to successfully initiate shared decision making. Three categories of training activity were derived: (1) knowledge and information, (2) decision-making skills, and (3) collaborative skills. These results are reported in the following discussion under the barrier *Lack of Skills* (see also Appendix B).

The responses to survey question three (N=47) were directly compiled to create a list of training resources and programs useful and available to practitioners who are interested in implementing shared decision making in their districts (see Appendix C).

Barriers to Changing Traditional Behavior

Eight barriers were derived from an analysis of survey responses to the open-ended question, "What were the major difficulties you encountered or observed in trying to change traditional behavior when initiating shared decision making?" The barriers clustered in two broad categories: *personal and interpersonal barriers to change* and *institutional barriers to change*.

Personal and Interpersonal Barriers to Change

Change in authority and decision-making arrangements in the educational system cannot be fully achieved or maintained without fundamental changes in the personal and interpersonal behavior of people throughout the learning community. Districts choosing to implement shared decision making in school-based management should be prepared to encounter and overcome five major personal and interpersonal barriers to change: *resistance to changing roles and responsibilities*, *fear of losing power*, *lack of skills*, *lack of trust*, and *fear of taking risks*.

Resistance to Changing Roles and Responsibilities. The redistribution of authority at the school site demands that administrators, teachers, parents, and community members forge different roles and accept new responsibilities. Fifty-one percent of respondents to the SEDL survey reported resistance on the part of people to accepting change in this area. Four sources of resistance were discussed: (1) reluctance to assume new responsibilities, (2) apathy, (3) satisfaction with the status quo, and (4) dependence on norms and role expectations.

A majority of respondents who discussed resistance to changing traditional roles and responsibilities observed an unwillingness among teachers to assume responsibilities different from those they traditionally have held. [Note: Since only five of the respondents were teachers, the following may be biased interpretations.] Respondents offered a variety of interpretations for this reluctance: teachers lack confidence in their ability to participate, they are unwilling or unable to devote the time necessary to participate, or they prefer that administrators make the *difficult* decisions. In examining this resistance over time, some respondents observed significant changes. For example, one stated, "over the three-year period of this project we noticed that, at first, teachers were reluctant to share their ideas, but as they became more comfortable with their roles they became true leaders." Other respondents discussed the link between responsibility and accountability. As one noted, "In the beginning, the newly empowered decision makers were, in many cases, frightened by the responsibility and the danger of being held responsible for mistakes. Most of these fears have been overcome." Another respondent surmised that some staff do not want peer accountability, suggesting that some teachers may view the "isolated" teacher model as the most secure professional role to maintain among peers.

Some survey respondents reported resistance in the form of apathy toward shared decision making among some people in the school or community. Participants at one site experienced difficulty in initially gaining community interest. One respondent noted, however, that it was "a very small number of people who showed no interest at all in shared decision making." Still another aspect of resistance was reported as satisfaction with the status quo. One respondent observed that "many administrators have been successful using traditional approaches", while another encountered a general attitude of "we are doing OK; why change?" Other respondents reported local investment in the traditional system by the teacher union or association and by parents. Though both apathy and satisfaction with the status quo may present only passive resistance to change in roles and responsibilities, each adds weight to any active resistance within a school community to changing traditional roles and responsibilities.

Finally, barriers to changing roles and responsibilities also are found in the deeper, often unspoken role expectations of teachers, administrators, and parents. Strong norms exist regarding what it means to *be* and behave in each of the established roles. People have a broad range of attitudes regarding change in traditional roles and these attitudes can provide the foundation for overt resistance to formal changes in responsibilities. More than one-third of the respondents who reported resistance to changing roles and responsibilities discussed these normative barriers. SEDL survey findings in this area are in line with the contention by Malen et al. (1989) that "the failure to alter orientations and norms inhibits participants from taking on new roles or fully participating in site decision making."

Several respondents reported on the strength of norms related to the teacher's role and competencies. For example, one wrote, "I have people stomp out of the room making comments such as 'I don't think teachers have any right to make curriculum decisions'." Another observed, "almost all of this district's problems with its very limited efforts have been caused by the absence of real confidence in the decision-making capacities of subordinates and the importance of fostering latent abilities." In discussing the principal's role, respondents tended to focus on the difficulties principals have in adopting a shared decision-making orientation that exhibits both "enabling" behaviors (i.e., active encouragement of participant involvement) and self-restraint (i.e., "resisting the habit of formulating solutions" or "stepping in to try to speed up or streamline the process"). Respondents stated that the shift for central office staff involves a reconceptualization of their roles to become "facilitators, questioners, and enablers rather than simply monitors and enforcers."

Fear of Losing Power. People in traditional decision-making positions in the school and district can experience a fear of losing power as they move from a traditional hierarchical decision-making model to a shared decision making model. Thirty-eight percent of SEDL survey respondents stated that people at their site -- particularly principals, central office staff, and school board members -- had to confront and overcome the fear of losing power. One respondent commented that "as more individuals gain 'power' or become involved, someone [else] may perceive they are losing 'power'." From this viewpoint, the authority to make decisions is a territorial issue for site administrators and school boards. Building administrators are fearful of losing control or "giving away the store." Similarly, in discussing central office staff, one respondent stated that "understanding that sharing decision making does not really disenfranchise Central is a very difficult concept for some to grasp." School boards are fearful that school site councils will become the final decision makers in school business issues.

This territorial aspect of power was also reported among staff and parents who may have built bases of informal influence in the school or district. As one respondent noted, "staff members desire to protect their own turf rather than consider the 'big picture'." Another respondent observed that teachers and parents may fear the consequences of trading the security of an established relationship with a single administrator for uncertain influence as a member of a council of many individuals.

Power is not only an authority or control issue. It also encompasses some individuals' sense of self and status. One respondent stated that a major barrier to changing traditional authority relationships was "convincing principals that teachers were not going to take over the building, make all the decisions, and do away with principals." Principals and central office staff fear that their positions will be relegated to mere "managers of facilities." Another respondent asserted that the challenge at his/her site was to convince participants that "shared decision making can occur without any parties relinquishing their values and responsibilities or 'losing face'."

Lack of Skills. The third barrier to changing traditional behavior toward shared decision making describes the need to develop current human resources at the school and district levels. Thirty percent of SEDL survey respondents indicated that there was a critical lack of knowledge and skills needed for shared decision making at their sites. Respondents asserted that site participants require skills to move from "individual thinking to collective thinking" and faculties need to be able to move from "isolated working and decision making patterns to group decision making." The unique difficulty in achieving shared decision making was highlighted when nearly one-fourth of the respondents who reported lack of skills focused on the lack of experience in consensus decision making among their site participants. Decision making *by consensus* demands skills very different from those required in decision making *by vote*.

Survey responses to the second open-ended question on the SEDL survey, "What types of training activities do you feel are necessary to successfully initiate shared decision making?", elaborate on the types of knowledge and skills required by members of the learning community. Sixty-seven percent of those who responded to this second survey question listed specific knowledge and information that participants need to acquire, 64% listed decision-making skills, and 75% listed collaborative skills.

Respondents suggested a wide range of *knowledge and information* that is required by participants. They indicated that people need to become knowledgeable about shared decision making, both its philosophy and "research evidence of the efficacy of this management mode." Organizational theory and change theory is needed to provide a context for implementation and an understanding of its implications. All shareholders (i.e., shared decision-making participants, school and district staff, and the community at large) need to be given a clear rationale for the implementation of shared decision making. Those making decisions at the school site need a clear charge and operational ground rules, and they need to be provided the information relevant to specific site decision-making tasks (e.g., budget figures and procedures; available and obtainable curriculum models and materials; district regulations, state statutes, and available waivers to any).

In addition, participants need *decision-making skills* in the following areas: developing a vision or mission statement, leadership, problem solving and critical thinking, strategic planning, priority setting, resource utilization, and the design of accountability and evaluation plans. A few respondents recommended the use of available models (e.g., the Quality Circle and ODDM problem solving methods, the CBAM change process). Most, however, listed the skills generically.

The *collaborative skills* needed by participants in shared decision making efforts include consensus building, conflict resolution, communication, commitment building, and team building skills. Here again the need for experience in achieving group consensus rather than relying on decision-by-vote was of great concern to respondents who pointed out the need for skills in consensus decision making. One respondent outlined the following components for this area of training: "a definition of consensus building, examples of how this process differs from other types of decision making strategies, key steps in consensus decision making, factors that influence consensus reaching, and appropriate activities to develop skills in consensus decision making."

In discussing site participants' lack of knowledge and skills, SEDL survey respondents offered very different ideas regarding *how* participants can best gain new knowledge and skills at the site. Some respondents recommended the use of professional consultants or experienced district or non-district facilitators to guide site participants as they engage in shared decision making. For example, one respondent stated "we have hired for the first time this year a shared governance specialist who, in addition to conducting training, will serve as a consultant and resource to the individual schools in helping them deal with any problems they may be having in the shared governance process." Other respondents recommended a train-the-trainer approach, with selected staff undergoing training and then returning to the site to train their faculties and communities. Still others suggested a full staff approach in which all site staff participate in gathering information, gaining decision-making skills, and developing collaborative behaviors.

Lack of Trust. Thirty percent of SEDL survey respondents discussed a fourth barrier encountered as participants grapple with the consequences of changing power and assuming new roles and responsibilities. The building of new roles and relationships required for shared decision making can uncover the existence of mistrust in every relational permutation possible. Survey respondents most frequently described a perceived mistrust of district-level personnel on the part of teachers and building administrators. Typical perceptions included the following:

- the district was "not serious about shifting decision-making authority to school sites,"
- "they have already decided what they are going to do anyway," and
- there are "hidden agendas [to bring] to the surface."

Given an atmosphere of mistrust and apprehension, it is not surprising that a few survey respondents who discussed this barrier identified the need for site participants to air grievances. One respondent stated that "trivial matters stored up over the years from lack of input" impeded progress at their site. Another observed that "some decisions previously made at district or administrative levels require major complaining sessions before movement can be made."

Fear of Taking Risks. Nineteen percent of the SEDL survey respondents reported a fear of risk-taking among site participants. Their observations tended to be brief and generalized descriptions of uneasiness, such as "fear of change," "apprehension," "fear of the unknown," and "resistance to change." One respondent stated, "Some people are resistant to change ... are not risk-takers" -- apparently assuming that fear of risk-taking should be an expected response to change from some people in any organization. Another respondent linked fear of risk-taking with the concerns people have regarding interpersonal relations. The fear of alienating someone may restrain some individuals from expressing their opinions. A third respondent discussed risk-taking in the context of overall program development at the site, stating that: "Although all the parties (school board, superintendent, teachers' union) openly and repeatedly encouraged school-based-management/shared-decision-making schools to dream and take risks (without retribution for failures), more creative waiver requests and budget utilizations were not pursued until the second and third year of the pilot."

Institutional Barriers to Change

Change in the personal and interpersonal behavior of people cannot be achieved or maintained without accompanying change in the institution. Districts choosing to implement shared decision making in school-based management must be prepared to confront and overcome three major institutional barriers to change: *lack of definition and* *clarity*, *inadequate or inappropriate resources*, and *lack of hierarchical support*.

Lack of Definition and Clarity. People must be provided with clear definitions of a concept or strategy and its operational implications in order to engage in successful implementation. Thirty-eight percent of the survey respondents stated that certain aspects of shared decision making lacked definition or clarity in their district. One respondent stated that his/her district had difficulty in:

> clarifying the legitimate options for site-based decision making. Under the shared governance plan that had been in the district for many years, the appropriate areas of decision making had never been made clear. This past year we spent considerable time identifying site-based decision-making options that were legitimate if schools chose to exercise one or more of them.

Many respondents reported a lack of clear definition of the concept itself -- indicating that there needs to be a *common language* and a set of understandings about shared decision making and its implications in the day-to-day "*normal* way of conducting school business." Others stated that their district lacked a clearly defined, shared vision of an educational system -- a vision that encompasses both desired learning outcomes for students and a redefinition of teaching and administration for faculties and principals. Finally, respondents reported that people experienced difficulty defining the new roles, responsibilities, and relationships required in shared decision making. One suggested that this may remain a challenge over time; successful shared decision making requires a "constant clarification of each role and the individual responsibilities that accompany decentralization."

Inadequate or Inappropriate Resources. Thirty-eight percent of the SEDL survey respondents stated that the lack of resources or appropriate resource reallocation represented a serious barrier to successful implementation of shared decision making. This seventh barrier to changing traditional behavior was discussed by respondents in three distinct categories: time, money, and staff. It is of significance that fully two-thirds of the responses in this category focused on the need for time, while only a few specified staff and even fewer specified money.

In discussing the need for time, one respondent stated: "A major challenge is finding quality time for local staff to address the change process. Traditional organizational models simply do not provide time." Respondents described a variety of distinct needs for time that are difficult to meet in the typical school day: time to scan and collect ideas regarding "new ways of doing things," time for training in new skills, time for decision-making bodies to meet, and time to "play out the group dynamic" that is necessary to ensure that sound consensus decision making takes place.

The acute nature of this "daily" time barrier becomes evident when one considers that most of the people who need to be involved in the work of shared decision making at the site are already engaged in full-time work. Many parents and community members are committed to typical work days and weeks. The typical teacher's work day provides minimal teaching preparation time and even less time is provided for meetings with colleagues. Participation in shared decision making has been described by some researchers as a cost rather than a benefit to teachers (Firestone & Corbett, 1988) and, under current patterns of time allocation in schools, the same can be said for other staff and for working parents.

Time in the longer term was also discussed by many respondents. One respondent noted that "the process takes significantly more time to institutionalize than the literature implies." Another discussed the difficulty inherent in pursuing any type of far-reaching change in the educational system, where "training for change [must be accomplished] while maintaining the operation of schools and the school system." As one respondent observed:

> this concept [shared decision making] is a major shift from general practice and many expect the shift to happen overnight, or after two or three training sessions, failing to recognize that change is a process, not an event."

The need for schools and districts to provide long-range implementation time includes allowing time to explore and understand the process itself prior to implementation and accepting the fact that time is required for shared decision making to be "learned and practiced until it becomes a natural behavior."

The second resource -- staff -- was discussed in terms of the human resource issues that arise from implementing shared decision making. For example, one respondent appeared to focus on the principal and/or superintendent in stating that "the person who must initiate change ... may not be a change agent." Another respondent said that successful shared decision making requires the "selection of creative/innovative school staff members with positive attitudes and high expectations for disadvantaged children." Still another observed that shared decisions at his/her site included the necessary but difficult redeployment of some support people (e.g., teacher assistants, secretaries), suggesting that traditional school staffing patterns may be inappropriate and should be re-evaluated.

Most of the respondents who discussed the third resource -- money -- described a need to increase or reallocate funds for staff development activities. Only one respondent stated there was a need to finance higher pay for teachers; all others focused on the "tremendous amount of training that school participants need, aimed at attitudinal change and learning new skills."

Lack of Hierarchical Support. The final barrier to changing traditional behavior is lack of hierarchical support. Twenty-seven percent of SEDL survey respondents discussed four different aspects of this barrier: the absence of full-system commitment to shared decision making, transience of personnel, inadequate communication, and conflicts with outside regulations.

A majority of respondents who discussed this barrier stated that their site lacked hierarchical support in the form of broad and permanent commitment to the processes of shared decision making and school-based management. As one respondent reported:

> We had neither institution-wide preparation nor commitment to a change in decision making/management structures (much less a change specifically in the direction of shared decision making) prior to instituting our pilot 'experiment' ... there is no generalized commitment conceptually to the efficacy of the shared decision-making concepts and underlying assumptions.

SEDL survey respondents stated that there is a need for full support from all *high level* district shareholders: central office staff, the superintendent, and the school board. One respondent described a consequence of inadequate long-term, system-wide commitment as follows: "it is difficult to keep school-based management councils moving and motivated if the members do not perceive support and sharing from central." The need for hierarchical commitment to extend to the state-level was voiced by still another respondent: "Perhaps my biggest frustration has been the lack of support from state educational officials. The move towards shared governance [should also mean] an increase in flexibility from state rules and regulations. We have experienced a bureaucratic mind-game which has often slowed us down."

Respondents named transience of district personnel as a major problem. As one stated, "as new managers have risen to positions of leadership many of the main features of the original decentralized system have eroded and decision making is more centralized now than it was at the start." Each incoming superintendent or board member has the potential to bring with him or her a new perception of shared decision making. The result is often devastating, as described by the following: "We had several changes at the superintendency level. Only six out of 13 schools got involved. Our strongest support, the superintendent, resigned a month after we got into the project. We were all alone because the interim superintendent was totally against the concept." Equally damaging consequences are found at the school site when the school-based management team is affected by principal and teaching staff transfers and parent/family mobility.

Several respondents reported problems with communication -- a difficulty that may mark an insufficiently committed district. The unidirectional communication pattern typically present in traditional schools and districts does not facilitate shared planning and decision making. Even a two-way pattern between central office and school site, and between principal and teachers, is insufficient. The need for a multi-directional communication network was described by one survey respondent who advocated "new communications mechanisms within schools and from schools to [the] community and back."

Finally, a number of respondents cited the need to resolve conflicts with outside regulations and standards. One respondent described difficulty in "achieving a balance between district requirements and school-level initiatives" while another described state mandates as impeding "constructive progress because they are too confining, inflexible, and limiting."

Section Four
What Do We Need To Do?

Recommendations

This document is about restructuring and two of the more prevelant components of restructuring efforts -- school-based management and shared decision making. While system-wide restructuring efforts encompass more than the shift of decision-making authority and the allocation of resources to the school site, this shift is the heart and soul of restructuring. Changes in where the decisions are made, who is involved in making them, and who has control over the resources to carry out the decisions are necessary to provide the school site with the flexibility to redesign its internal operations to better meet the needs of its student population. The goal of restructuring is to create an environment in which all students have the opportunity to succeed at learning. The school site must have the flexibility to make the changes that must occur for this to happen. As illustrated in the previous sections, the attainment of enduring restructuring efforts may hinge on how effectively shared decision making is implemented as a part of the management strategy. Shared decision making within the district and at the school site can harness the energy currently expended by students (to underachieve, tune out, rebel, or drop out), teachers (to circumvent the system), parents and community members (to flee the system), and principals (to try to keep the lid on).

The following recommendations outline ways in which school sites and districts can address the problems of and maximize the potential for their restructuring efforts to produce more effective schools as well as better student learning outcomes:

1. School sites and districts must effect a transformation of authority.
2. A system-wide culture must be developed that supports norms of collegiality and collaboration.
3. Professional development must be provided so that staff at all levels can acquire new knowledge, skills, and attitudes.
4. The entire educational system must demonstrate a commitment to shared decision making.

Recommendation One: School sites and districts must effect transformation of authority.

A redefinition is required of the kind of management that is needed to effectively facilitate restructuring efforts. As discussed earlier, the problems of organizational mismatch and inefficient hierarchical control have led the private sector to seek new ways to organize management. Even in the "old guard" manufacturing industries, United States producers are organizing for innovation and flexibility by "flattening the hierarchy, giving more responsibility to the lower levels, and scuttling discipline-oriented departments in favor of ad hoc mission-team groups" (Port, 1989). Although there is some reluctance among educators to continue to rely on organizational theory and practice from the private sector, the massive changes required to restructure the educational system warrant a continued scanning and consideration of models developed in that sector.

Restructuring requires systemic change in the roles, relationships, distribution of authority, and allocation of resources -- i.e., in the organizational structure. This kind of systemic change can only be accomplished by a transformation of authority. Authority is the currency with which people influence what goes on in an organization. Authority is the freedom to act within the framework provided by policy and law, the opportunity to make decisions within an area of professional expertise (Frymier, 1987). The issues of power (authority) and of changing roles and responsibilities are closely linked. The school site needs to be formally empowered. This necessitates change at the school level and at the various levels higher in the educational hierarchy. The process of transforming authority often results in people at all levels of the system experiencing fear of losing power and creates a resistance to changing roles and responsibilities.

Transformation of authority may be understood best as a change in the definition of leadership, and thus new expectations for all participants in the school community. Leadership is a process that involves influencing others to commit their energies and efforts to accomplish organizational goals and improvement objectives. Liebermann (1988a) suggest that, when discussing leadership, we need to focus on "the people who make up a school community, the leadership tasks that must be performed, the conditions that must be present for leadership to exist, and the various people within the school community who could serve as leaders" (p. 649).

The public may already have internalized the need for the redistribution of authority and new role expectations. In a recent survey (A & M Conducts..., 1989), more than 83% of the respondents indicated that teachers should have a say in deciding the educational policies of school districts, while less than 11% felt that only administrators and school boards should set those policies. The following are implications for the transformation of power among various roles at the school and district levels.

Teacher. Education is currently a highly stratified field, but there is a growing awareness that those at the "lowest" level -- teachers -- are being highly under-utilized. Teachers' understanding of the content and pedagogy of their profession is considerable, yet opportunities to exercise professional judgment are limited. Also, teachers, who are among the mere 19% of U.S. total population achieving a college degree, are "alone among those with such extensive professional preparation [in their] lack [of] full control over their professional development" (Casanova, 1989, p. 48).

Teachers are already gaining new formal roles in some districts such as mentor, specialist, advisor, assistant, and lead teacher (Lieberman, 1988a), and a variety of visions for new teacher roles and responsibilities have been presented in the literature. Some researchers and practitioners see the emergence of teaching teams as a means for providing maximum opportunity for teachers to participate in and work harmoniously in planning, performing, controlling, and improving the instructional program. This will create a school culture that challenges the traditional way of teaching students and that is conducive to striving continuously for excellence in education (Lewis, 1989). Other researchers and practitioners foresee a differentiation of the teaching career in which interns receive limited assignments and support from experienced teachers while master teachers have assignments that offer opportunities ranging from the full-time teaching of students to a combination of teaching and curriculum development, teacher training and supervision, or research.

Principal. In order to ensure the success of this process in schools, principals and teachers must develop a collaborative and collegial professional partnership (Maryland Commission on School-Based Administration, 1987). Such a partnership requires a very different role from the one learned and assumed by most principals. Even when those with classroom experience move into administration, the expectations of the role tend to elicit traditional behavioral responses.

One SEDL survey respondent noted "as they [teachers] advance to administrative positions, they assume previous practice [i.e., adopt traditional administrative practices] and the cycle continues. They have a false sense that the situation is different, better because they [as former teachers] are now making the decisions."

Another SEDL survey respondent described the principal's "new" role as a change from an autocratic position to a democratic position. In sharing the power to make decisions, the principal actually gains power for the implementation of the decision. Decision-making participants have a vested interest in the decision and all that is necessary to follow it through. The "new" role may take on more supportive and enabling responsibilities in a collaborative context: listening actively and creating opportunities for staff to express ideas, providing resources and a supportive environment for collaborative planning, establishing school-wide goals and programs through staff input and participation, and staffing committees with representatives from all sides (Russell, Mazzarella, White, & Maurer, 1985).

Superintendent. The role of the superintendent may be the "cutting edge" topic of research to come. Initially the position, as related to the district, may be viewed much in the same way as that of the principal to the school. The superintendent focuses on both ends of the schooling process -- the setting of goals and the measurement of outcomes. There are, however, other aspects of the role that need to be explored.

A condition for the effective implementation of participatory decision making is that it must be modeled and practiced at all levels, not just at the building level (Wood, 1984). This opinion is echoed by an SEDL survey respondent: "the district mandated that principals implement shared decision making in buildings, yet [the superintendent and central office staff] do not model it downtown, nor has the district hierarchy and general organization been changed to have shared decision making throughout the district." Thus, support for the process demonstrated by active participation in the process may be another key descriptor of the "new" superintendent's role. Glaser and Van Eynde (1989) suggest that the modeling of participatory management from the top down is often the most productive approach and the one most likely to result in lasting change to the culture of the organization. There clearly is a much greater likelihood for the success of change when the entire system -- including the superintendent as the traditional district leader -- "practices what is preached."

Glaser and Van Eynde (1989) developed a number of principles from their research and organizational consulting experiences. The following appear directly applicable to the new role of the superintendent in contributing to the long-term development of a successful school organization.

1. encourage constructive challenge of the status quo;
2. build commitment through involvement;

3. arrange organizational conditions and methods of operation so that people can achieve their own goals best by directing their efforts toward organizational objectives;

4. conduct a review and evaluation following a significant experience to derive lessons for the future; and

5. hire qualified managers who "fit" well into the type of culture management is trying to promote ("mighty oaks do not from peach seeds grow").

Central Office. Responses to the SEDL survey and reports in the literature express doubt that the central office can continue to function as a collection of departments with budgets and tasks imposed from above. Sites that have been engaged in school-based management for some time tend to describe central office as a flexible service department that responds to needs emerging from below, that is, from the individual schools. A "supply and demand" cycle may emerge in which central staffing and resource allocation is based on school site "demand" for specific curriculum materials, training, and technical assistance. The roles of central office staff change from those of decision makers to support personnel (Harrison, Killion, & Mitchell, 1989). The ultimate realization of this role is one in which schools contract with central office personnel for the services they need. Building personnel first establish their priorities, and central office personnel support their efforts rather than leading or directing the buildings' efforts (p. 57).

The changing role of central office staff was the focus of the workshop "District Leadership for Site-Based Decision Making" sponsored by the American Association of School Administrators in Phoenix, Arizona, in October 1989. A central office staff member from Hammond, Indiana, described her newly-created position in the district as follows: she is responsible for "managing" state regulations and data-reporting demands, thus performing tasks that currently sap the time and energy of building principals and staff in many districts.

James E. Mitchell, superintendent of School District #12-Adams County in Northglenn, Colorado, described other new activities of central office staff in his presentation at the AASA workshop. Along with the superintendent, central office staff need to participate in -- if not be the first to engage in -- gaining the skills of "team building, reaching consensus, development of trust, facilitating, conflict resolution, and problem solving." A central office role-alike group report concluded that the essence of the "new" central office may be most dependent upon changes in every other part of the system; that is, new central office roles and tasks will be determined by the needs of teachers, principals, parents, superintendents, and school boards in the new system.

School Board. The school board role may become that of partner to the superintendent and teacher and administrator union/association representatives. Again, if restructuring is truly to create opportunities for improving student learning, partnerships must be in evidence at all levels. A partnership between highest-level policy, management, and labor leaders should serve as a model for the process required for a community to permanently change its schools for the better.

Parents and Community Members. The new role of parents and community members may parallel that of the school board described above. Parents and community members may become partners both at the district level and with principal, teachers, and staff at the individual school level. This partnership at the district and school level ultimately will design, commit to, and implement the instructional program most appropriate for each school's students. Parent participants on school-based management councils may harness for the school a highly under-utilized resource -- their constituents' personal knowledge of and influence over their children. Both parent and community participants on school councils may take on new leadership roles to directly improve the educational program at their schools, and some may take on a caucus function to influence school policy at the district level (Malen et al, 1989). Finally, parents and community members may become advocates for change and serve a public relations function in the greater community.

Teacher Union/Association. Approximately half of the sites surveyed by Clune and White (1988) reported that the teachers' association was involved in and supportive of the district's school-based management strategies. Several of the most publicized sites (Dade County, Florida; Cincinnati, Ohio; Rochester, New York; Hammond, Indiana) are characterized by strong superintendent/labor leader partnerships. This illustrates, in fact, the power of another approach to initiating participatory management: the joint labor-management approach (Glaser & Van Eynde, 1989). Both "sides" recognize a need for change and initiate it via collaboration, developing a new vision or philosophy and then developing the strategies for its support (e.g., greater employee involvement, extensive training opportunities).

Thus, the new role of the teacher union or association may not represent so much a change in responsibilities as a change in approach or attitude. Jose Farinas, president of the Polk Education Association in Bartow, Florida, discussed this change in approach at the AASA workshop "District Leadership for Site-Based Decision-Making." Farinas described a unity of purpose that is recognized by increasing numbers of district superintendents and employee organizations: all share in the schooling crisis, all share a commitment to the students at the heart of that crisis, and all share the risk in changing or failing to change.

Recommendation Two: A system-wide culture must be developed that supports norms of collegiality and collaboration.

Restructuring to include shared decision making at the district and school levels involves change in more than the formal locus of authority and assigned roles and responsibilities. There must be a nurturing of those new roles and relationships. Effective implementation means finding new ways of organizing schools to create an open, collaborative mode of work that replaces that of isolation and powerlessness. The process of changing the roles and responsibilities of administrators and teachers, however, stirs up and disturbs the deeply rooted beliefs that make up the core structure of schooling. These changes do not come easily, not because current arrangements are effective, but because it is always easier to stick with the familiar (Lieberman, 1988b).

A note of caution was expressed by one of the SEDL survey respondents engaged in implementing shared decision making, "[it was difficult to] overcome the stigma of the new "in group" created when the group convened and began to work." As Patrick Dolan cautioned at the AASA workshop "District Leadership for Site-Based Decision Making," the creation of permanent district- and/or school-based management bodies might serve to simply add a new bureaucratic layer to the old system. It is important to remember that school-based decision making is not "just another add-on program."

The development of collegial norms is important. Such norms represent a form of group problem solving in which ideas are shared and alternative, better solutions to problems are found (Carnegie Task Force on Teaching as a Profession, 1986). In those schools and districts that have incorporated teacher-leader roles into their organizational structure, collegiality among educators is not something that just happened. Collegiality must be developed and nurtured in a climate characterized by open communication, sharing, and willingness to learn. Efforts must be made to develop mutual respect and trust, or suspicion, competitiveness, and inflexibility will defeat any attempt to establish collegial relationships (Ruck, 1986).

A culture of trust is essential for the collaboration needed in the type of participatory society envisioned as necessary to United States' economic survival in the 21st century. If they are to teach participatory norms to students, schools must model these norms in the way they plan, solve problems, share power, and make decisions. The adversarial relationships common to most school cultures will not work. The system must change the way people who work in schools are selected and "used." Relationships of trust, credibility, caring, and support must become part of the culture of the school (Parish, Eubanks, Aquila, & Walker, 1989). The belief that participants' ideas and contributions are valuable must be supported in action by creating structures and processes that support their participation (Wood, 1984). Norms that do not support participatory decision making serve to limit or even negate its viability.

Recommendation Three: Professional development must be provided so that staff at all levels can acquire new knowledge, skills, and attitudes.

A third major barrier to restructuring is a lack of knowledge, skills, and attitudes that support shared decision making. Professional development must be provided so that members of the school community can obtain information and engage in experiences that yield direct transfer to the skills required in shared decision making and school-based management. Participants at all levels must receive training in order to develop the knowledge, skills, and attitudes required to accept as well as participate in changing traditional roles, relationships, and behavior. Staff development must address personal and interpersonal needs and include training in group processes, team building, and conflict resolution. In addition, staff must be trained to deal with the substantive and technical aspects of the issues about which decisions must be made.

There is a need to marshall all that is known about effective staff development for adults in the provision of training and technical assistance to site participants. A considerable body of research exists on successful professional development programs. A number of components have been identified as critical to fostering change in participants' knowledge, skills, or attitudes. Eight components, synthesized from a review of the literature, are summarized in the following sections.

Context. Context can be viewed as consisting of three broad dimensions: technical, interpersonal, and cultural (Fielding & Schalock, 1985). The first dimension, the technical, is made up of the procedures and resources that help teachers and administrators accomplish their work. The second dimension, the interpersonal, concerns patterns of communication, support, and cooperation. The participants in professional development programs are adults. Therefore, it is advisable to take into consideration the characteristics of adults when designing such programs. Adults are resistant to experiences in which they may not do well or in which their self-esteem might be damaged. Change is almost always accompanied by uncertainty. Changing behavior requires commitment and emotional energy. Most adults are not willing to expend the effort if the situation threatens their image of themselves. It is important, therefore, for professional development to be conducted in a supportive climate of trust, peer support, and open communication (Brookfield, 1986; Caldwell, 1986; Wood, Thompson, & Russell, 1981).

The third dimension, the cultural, has to do with the beliefs, values, and norms that are shared among members of the school community (Fielding & Schalock, 1985). Professional development should facilitate organizational socialization. London (1985, p. 20) defined organizational socialization as "the process by which an employee learns the values, norms, and required behaviors that permit participation as a member of the organization." This process may also mean relinquishing attitudes, values, and behaviors that do not fit. Therefore, professional development directed toward changing traditional norms to those better suited to shared decision making must systematically replace those norms with new shared attitudes, habits, and values. Organizational socialization should establish norms that encourage cooperation, integrity, and communication.

Involvement, Expressed Needs, and Opportunity for Choice. Involvement, expressed needs, and opportunity for choice ensure that participants are committed to change because of intrinsic motivation. The challenge for planners is to design experiences that take these intrinsic motivators into consideration (Caldwell, 1986). Motivation for growth and learning comes from within; participant involvement from the beginning is, therefore, important (Levine, 1985). Professional development works best when participants take part in planning objectives and activities (Elam, Cramer, & Brodinsky, 1986). Research has shown that the most successful professional development activities have been those in which participants had maximum opportunities for involvement and self-help (Levine, 1985). This allowed them to personalize their professional development to meet their own special needs (Pitner, 1987).

Continuity. Significant improvement in educational practice takes considerable time and is the result of systematic, long-range professional development (Caldwell, 1986). It is important to build on the experiences of participants and to foster cumulative learning (Pitner, 1987). Long-term commitment to a particular direction or program enables the learner to proceed in an orderly way from orientation to in-depth exposure to integrated practice (Dillon-Peterson, 1981). This is best accomplished by establishing expectations within each school staff for continuing professional growth in the school setting. Processes should be instituted in the school for active discussion of professional practice and for peer observation and coaching.

Content. Professional development programs should contain content that addresses three major areas: (1) attitudes, (2) skills, and (3) substantive knowledge. Programs should be demanding, and high but reasonable standards of performance set for participants. They should prepare participants to implement research findings and best practices related to carrying out their job responsibilities (Wood, Thompson, & Russell, 1981). Good programs will also include opportunities for participants to reflect on their actions (Pitner, 1987). Adults have much to contribute from the rich resources provided by their experiences. Effective professional development provides an opportunity for adults to share their expertise and experience. Experiential techniques, such as discussion or problem solving, are effective devices for adult learning (Brookfield, 1986).

Demonstration, Practice, and Feedback. Professional development should provide opportunities for the development of job-related skills through (1) the demonstration of the skill or its modeling in settings that simulate the workplace; (2) opportunities for practicing the skill; and (3) receiving productive performance-based feedback (Pitner, 1987). In addition to taking part in demonstrations or supervised tasks, individuals also need to receive constructive criticism (Elam, Cramer, & Brodinsky, 1986). Feedback about performance greatly facilitates skill development (Joyce & Showers, 1983).

Collegiality and Coaching. Professional development programs should also provide mechanisms for follow-up assistance to participants after their return to the workplace (Wood, Thompson, & Russell, 1981). Wherever possible, new administrators and teachers should not be left to solve their problems in isolation from their colleagues (Daresh, 1987). Joyce and Showers (1983) consider it essential for trainers to assist participants in developing self-help teams that will provide coaching. Ideally, "coaching teams" are developed during the initial phase of the program. It is important to train participants in the techniques needed to coach others (Pitner, 1987).

Establishing norms of collegiality is vitally important to the success of any coaching, observation, or supervision activity. The basis of each of those activities is the observation of another's performance in order to make informed comments about their work. There is risk involved both for the one doing the observation and coaching and for the one performing. Such activities entail judgment and evaluation -- a fact that should not be minimized. If educators are to pool their expertise for instructional improvement, then trained observers must be able to perceive strengths and weaknesses in performance and share them or the process has no value (Ruck, 1986).

Executive Control. Joyce and Showers (1983) have pointed out that the effective use of a skill depends on "executive control" -- that is, on understanding the purpose and rationale of the skill and knowing how to adapt it, apply it, and blend it with other approaches to develop a smooth and powerful whole. The achievement of executive control may require extensive amounts of new learning that can only be accomplished through practice and vertical transfer of learning. Vertical transfer requires additional learning to take place in the workplace in order for problems to be solved or new behavior to be applied effectively. This additional learning involves adapting the skill to on-the-job situations and has to occur in the work setting (Joyce & Showers, 1983). An administrator who is used to the workplace. In fact, professional development programs should be designed with a clear recognition that a considerable amount of additional learning is necessary to achieve full transfer to the workplace. For this reason, it is important to structure activities so that participants have continued support in the workplace as they learn to apply new knowledge, skills, and behavior.

Support and Resources. Administrative support is critical for successful professional development. The level of support from district administrators must be genuine and visible (Elam, Cramer, & Brodinsky, 1986). Lack of resources makes it difficult to successfully implement new programs and to improve teacher and administrator performance. The schools must have sufficient and appropriate resources (e.g., time, training, technical assistance, and supplemental funds) to carry out effective staff development.

Recommendation Four: The entire educational system must demonstrate commitment to shared decision making.

Hackman (1986) identified two leadership functions that are critical for ensuring the success of self-managing units in business and industry. These functions are equally critical to the success of district restructuring efforts to shift decision making and resource allocation to the school staff. The two functions are (a) obtaining and interpreting data about performance conditions and events that might affect the schools, and (b) taking action to create or maintain favorable conditions for optimizing performance. In order to carry out the first function, obtaining and interpreting data about performance conditions and events that might affect the schools, data must be gathered to answer the following questions:

- Does the school have clear and engaging direction?

- Is it organized for self-management?
- Does the district provide a supportive organizational context?
- Are adequate coaching assistance and staff development available?
- Does the school have adequate material resources?

The second function, action-taking, is based on the assessments of the situation and involves initiating changes intended to create favorable performance conditions, to remedy problems, or exploit opportunities in existing conditions.

Fullan (1985) has pointed out that change takes place over time and the initial stages of any significant change always involve anxiety and uncertainty. For restructuring to be successful, long-term, system-wide commitment to the shared decision making concept and all its implications must be built and maintained. System-wide commitment includes support for the effort from every level reflected by a clear definition of mission, goals, and outcomes, and a clear understanding of roles, responsibilities, and distribution of authority. Commitment also includes assuring continuity and stability, protecting the effort from external constraints, and providing the necessary resources for successful implementation.

Shared decision making must be carefully and continuously defined and clarified. Clear and specific definitions of values, concepts, and roles must be developed and widely disseminated. For example, restructuring plans must clearly specify what authority is delegated to the site and how the authority is distributed. As noted earlier, *ambiguous definitions of authority* can lead to the maintenance of traditional management practices as surely as *limited authority* as Malen et al. (1989) discovered from their examination of 98 site-based management project descriptions and eight case studies. Clune and White (1988) observed that decentralized management in some districts is "perceived more as a philosophy of the district rather than as a program" (p. 16).

System-wide support for shared decision making is created by building staff and community commitment prior to, during, and beyond implementation. Whether considering the development of new skills or the development of fundamental changes in belief, continuity depends on commitment. Long-term commitment to a particular direction or program enables the individual learner to proceed in an orderly way from orientation to in-depth exposure to integrated practice (Dillon-Peterson, 1981). This same progression is applicable to building and supporting commitment to change.

Equally important to the success of a shared decision-making effort is stability. A danger that can accompany even the "best" initial implementation efforts of school-based management is a school district's vulnerability to personnel changes. The *un-committed* perceptions of incoming board members, superintendents, principals, and teachers wreak havoc on a long-term, system-wide change that has a weak base of commitment. Strong, active communication networks must be developed and maintained within and between all stakeholders and levels of the system. Finally, commitment requires the resolution of conflicts throughout the system (i.e., school board with state authorities, central office with school board and state authorities, and school site with all) but particularly those limiting school site autonomy.

The content and impact of decisions made by shared-decision-making units at the school or district level will be severely limited unless further changes at the legislative level are made. There is a high probability that external legal constraints will become a more widespread problem. Frymier (1986) noted that the wave of reforms in early 1980's in many states amounted to "legislated centralization." There is a significant difference between the *way* in which these reforms were enacted and the way in which change was initiated in the past. Unlike past state and federal legislation, most of the recent changes by state legislatures have been mandated but not directly tied to appropriations. These mandates will stand forever unless they are repealed by the legislatures or overturned by the courts. This makes a move toward decentralization more difficult. Mechanisms for release from regulations must be provided. In addition, district and state policy and labor/management bargaining agreements must make an open and concerted effort to minimize the constraints to site discretion.

Successful restructuring and the implementation of shared decision making require a commitment reflected by the distribution of resources. It is often true that money is the major resource on which all others depend. However, creative solutions developed at the school site related to personnel assignment, innovative uses of teaming, involvement of parents and businesses, and more appropriate professional development programs have the potential for stretching current dollars. *Time* was, by far, the resource in greatest demand according to respondents to the SEDL survey. The need to "create" time could easily become the challenge that moves school sites to raise fundamental questions about the use of time in the school. Time enters into such diverse issues as the following: (1) is a standardized pupil/teacher ratio "best," regardless of the diversity of learning and teaching situations? (2) are children best served by a certified teacher in all learning and teaching situations, or are there situations which call for expanded uses of paraprofessionals? (3) how can community resources be used to extend learning opportunities? and (3) is there still a case for maintaining the traditional "harvest" school year? As restructuring efforts increase in number and sophistication, options for flexibility in time are certain to multiply.

Conclusions

The purpose of restructuring the educational system is to provide local districts and school sites with the flexibility, authority, and resources they need to develop learning opportunities that address the problems and meet the needs of their community of students. Shared decision making and school-based management efforts surveyed by Southwest Educational Development Laboratory and examined by others have yielded rich data regarding issues important to successful implementation. It is evident that for successful restructuring, decentralization of resources and authority to the school site must be linked with shared decision making. It is also clear that the implementation of these strategies demands fundamental changes in traditional behavior. For a system to initiate a restructuring of its authority and decision-making arrangements, it must change deeply held beliefs and promote the development of new roles and relationships. Researchers and practitioners have provided a wealth of information regarding the personal and organizational barriers to such change in an educational system. While each school and district's unique environment will contain special barriers to change, all share common barriers that demand attention.

Four recommendations for maximizing the potential of restructuring efforts to produce more effective schools and better student learning outcomes are offered for consideration by practitioners and policymakers. First, there must be a transformation of authority -- in belief and in practice. The site must be empowered to maximize the educational experience for its children. To accomplish this, district and site participants (superintendent, school board, central office staff, principals, teachers, parents, and community representatives) must confront and resolve fear and resistance to changes in authority, roles, and responsibilities. Second, a system-wide culture must be developed that supports norms of collegiality and collaboration. Relationships of trust must be developed between and among participants and their constituencies. Third, professional development must be provided so that staff at all levels and participating community members can acquire new knowledge, skills, and attitudes. Successful shared decision making requires that site participants be enabled to fully participate through the development of their leadership abilities.

Finally, shared decision making requires commitment. Commitment involves hierarchical support in all its manifestations, with clarity of definition as well as intent. Commitment includes support that is reflected by a clear definition of mission, goals, and outcomes, and a clear understanding of roles, responsibilities, and distribution of authority. It includes assuring continuity and stability, protecting the effort from external constraints, and providing the resources for successful implementation. Above all, commitment requires a holistic view of the educational system. Successful restructuring requires the building and maintenance of whole-system commitment to support change that directly responds to the needs of all children.

Section Five
What Resources Are Available?

This section contains a variety of resources to assist practitioners in developing their own strategies for restructuring and implementing shared decision making. First, four different processes to guide restructuring efforts are presented. These approaches are drawn both from the school improvement literature and from SEDL's own experiences in facilitating restructuring efforts in the Southwestern region. The resource materials include:

- An abstract of Dufour and Eaker's *Fulfilling the Promise of Excellence: A Practitioner's Guide to School Improvement*. This provides a brief overview on reaching consensus, strategies for establishing and maintaining values, developing a focused curriculum, and organizational health.
- Excerpts from *Strategic Planning for America's Schools* by Bill Cook. This includes a discussion of strategic planning and presents a brief outline of the steps detailed by Cook.
- *Guidelines for Restructuring the Educational Delivery System* developed by the New Mexico/SEDL Organizing for Excellence Partners. The *Guidelines* have been presented to the New Mexico State Board of Education and have served as the focus of two state-wide conferences for school administrators.
- "Recommendations for Restructuring" that resulted from a conference cosponsored by the Louisiana Department of Education's Leadership Academy and the Louisiana/SEDL Organizing for Excellence Partners. The recommendations, synthesized from small-group discussions on initiating school-based management processes, were sent to all Louisiana superintendents.

This resource section also includes a list of the training programs and/or consultants suggested by the practitioners who responded to the SEDL survey on shared decision making. Respondents made recommendations in the following areas:

- consultants who provided training or technical assistance (university-based individuals and private firms);

- state, association, and foundation programs (e.g., the National Education Association's Mastery in Learning Program, Matsushita Foundation's projects);
- program models (e.g., Schlechty/Gheens Professional Development Center approach, the Comer Process, Lezotte's Effective Schools model, and individual district models); and
- component packages (e.g., CBAM, ODDM, IDEA, Myers-Briggs Personality Inventory, and Department of Education Regional Education Laboratory packages).

Fulfilling the Promise of Excellence

The following is abstracted from *Fulfilling the Promise of Excellence: A Practitioner's Guide to School Improvement* by Dufour and Eaker (1987). As the authors state, the book is intended for practitioners who are working at the local level to improve schools one building or one district at a time. The book offers specific, practical recommendations on how to create an excellent school. The book has drawn on both the effective schools research and that of effective business practices. Several of the processes found effective for shared decision making at the school site are discussed: reaching consensus, establishing and maintaining values, and developing a focused curriculum. In addition, DuFour and Eakers's ten dimensions of organizational health are included.

Reaching a Consensus

One way to address the issue of reaching a consensus about what constitutes an excellent school is to establish a committee for excellence. The committee not only can reach an agreement about the major characteristics of an excellent school, but also can provide input for the school improvement plan. Thus the question of who will serve on the committee is a critical one.

The following factors should be taken into consideration:

1. The diverse groups within the school district should be represented.
2. The individuals chosen should be influential within the groups they represent.
3. Committee members must be able to maintain a broad perspective.
4. Key policy makers must be included.

Strategies for Establishing and Maintaining Values

Leaders of outstanding schools and school districts take the necessary steps to make sure that the school's key values are reflected in the day-to-day operation of the school. Dufour and Eaker offer the following suggestions for doing this:

1. Through group meetings, reach some consensus about the key values your school should reflect.

2. Highlight these values in the faculty manual.

3. Insist that administrators model the agreed upon values.

4. Insist that teachers remain within the parameters of these agreed-upon values, but otherwise provide them with large measures of autonomy in their day-to-day tasks.

5. Develop specific goals and plans for school improvement.

6. Develop specific plans for monitoring the day-to-day implementation of school improvement plans.

7. Discuss with faculty the kinds of signals that are being transmitted through the behavior of the administration and faculty. Identify areas that could be improved.

8. Develop programs that encourage individual self-renewal.

9. Develop plans for recognizing and rewarding administrators, faculty, students, and parents who exemplify the dominant values of the school.

Developing a Focused Curriculum

The curriculum is the most important vehicle a school has for transmitting its core values to students. In fact, curriculum decisions represent the fundamental means of translating the value system of a school into the day-to-day experiences of both teachers and students. Two critical issues must be considered when the curriculum of a school is assessed. The first is the fit -- the congruence between the curriculum and the values of the school. Does the curriculum reflect the values that the school is attempting to promote? The second is the focus - the degree to which the curriculum identifies what is truly significant.

Educators need a framework for thinking about how to systematically develop curricular programs that have the fit and focus necessary to advance the core values of a school. Written goal statements must be specific enough to give direction to the school program, yet general enough to allow consensus on the part of the various constituencies that make up the working groups.

Philosophy and goal statements can be of enormous benefit to a school and its principal in several ways. First, these statements should be a primary consideration in determining the organization of the school. Second, with interest groups increasingly trying to get their particular programs in the public school curriculum, written philosophy and goal statements can be helpful in establishing criteria for making decisions about adopting new programs. Third, written goal statements provide a basis for program evaluation.

Organizational Health: The Key to Successful Change

What makes for a "healthy" organization? DuFour and Eaker cite Miles' ten interconnected dimensions that reflect organizational health.

The ten dimensions are as follows:

1. **Goal focus**. A healthy organization has clearly defined, achievable goals that most members of the organization accept.

2. **Communication adequacy**. The adequate flow of information within the organization is a basic characteristic of a healthy organization.

3. **Optimal power equalization**. A healthy organization distributes power in a relatively equitable manner. Subordinates can influence bosses and perceive that bosses can do likewise.

4. **Resource utilization**. A healthy organization makes effective use of the inputs (resources) of the system, particularly human resources.

5. **Cohesiveness**. A healthy organization has a common identity. The members are attracted to and can relate to the organization and its purposes.

6. **Morale**. In a healthy organization, people feel good about working. Organizational morale implies feelings of well-being, satisfaction, and pleasure.

7. **Innovativeness**. A healthy organization tends to be more innovative than an unhealthy organization over a period of time. It will grow, develop, and change rather than continue with routine, standard procedures.

8. **Autonomy**. Members of a healthy organization believe that they are responsible for their own destiny. They do not view themselves as being tools of the larger outside environment.

9. **Adaptation**. A healthy organization adapts in realistic, effective ways to the environment. Autonomy does not imply immunity from outside influences.

10. **Problem-solving adequacy**. All organizations have problems. A healthy organization is not one that is free of problems, but rather one that has a way of dealing with problems as they arise.

Strategic Planning

The following are excerpts from *Strategic Planning for America's Schools* by Bill Cook (1988). Cook presents the perspective that the future is not an accident or coincidence, but is the result of events and actions, which, in their own present time, have intrinsic purpose beyond themselves. He suggests that such a perspective allows people to shape and mold the future, to actually design and build according to a purpose.

Strategic planning is a combination of both a *process* and *discipline* which, if faithfully adhered to, produces a plan characterized by originality, vision, and realism. The *discipline* incudes the vital ingredients of the plan itself; the *process* is the organizational dynamic through which the vital ingredients are derived. Both the discipline and the process are aimed at *total concentration of the organization's resources on mutually predetermined measurable outcomes.*

Strategic planning is a voluntary commitment to generate rational decisions about the deployment of resources toward fixed goals and priorities. It is an obligation to achieve measurable results translated ultimately into performance standards for those individuals responsible for implementing the plan. The essence of a strategic plan is the identification of specific desired results to which all the effort and activity of the organization will be dedicated.

Strategic planning is a prescription that is formulated by the combined expertise of the organization. In any school district, the best planning consultants available anywhere are quite often the existing staff. They, together with the parents, community leaders, and students already possess all the answers to the district's future. All they need are directions and impetus.

Strategic planning is a consensus plan derived through the application of the basic principles of participative management; specifically, (1) that those closest to the job know the job better than anyone else; (2) that strategic information flows downward and operational information flows upward; (3) that decisions should be made at the lowest appropriate level; (4) that one cannot participate above his or her level of authority, accountability, and information; and (5) that accountability is commensurate with authority.

Strategic planning is an open, unrestricted examination of issues and consensus by people of good will from each and every constituency of the district. The successful planning process can never be democratic;

it must emphasize *common interests* rather than special interests; and it must seek *consensus* rather than majority.

Strategic planning, if properly done, unleashes creativity from throughout the organization, sparks new enthusiasm for excellence, and guarantees progress without the artificial limitations of budgets -- all because planning begins and ends with ideas and aspirations, not numbers.

Beliefs: The statement of beliefs is the most logical, if not the most necessary, beginning of any plan. It is a formal expression of the organization's *fundamental values*: its ethical code, its overriding convictions, its inviolate commitments. Essentially, it describes the moral character of the organization. That means that the statement of beliefs of an organization must represent a composite, a distillation, of the personal values of those charged with the responsibility of leading the organization. The statement of beliefs should not be merely an acknowledgement of what the organization is, but an expression of what it aspires to be.

Mission: The mission statement is a clear and concise expression of the district's *purpose* and *function*. Always written in one sentence, the statement should reflect both the clarity of thinking and the vision characteristic of professional leadership. While the mission statement must acknowledge reality, it must also aspire to the ideal. Furthermore, the mission statement should not be merely a description of the *status quo*, but rather a bold declaration of what the organization will be.

The mission statement, like beliefs, serves two purposes -- one in the planning process, the other in the application of the plan. In the first place, the mission is the keystone upon which the entire plan depends. Everything else in the plan springs from it and must be judged by it. The second purpose of the mission statement is obvious: In application, in practice, it serves to focus all the organization's attention and to concentrate all its energies on one common purpose. The mission is the one thing that should be known and understood by every person in the organization. The mission statement of a school district must address the specific, local situation; and, therefore, it cannot be borrowed from others in the same business.

Policies: Policies are *strategic* policies -- limitations the organization places upon itself for good reason. They are boundaries in which the organization will operate; they are things the organization either will never do or will always do.

Such policies are "strategic" because they have the effect of "positioning" the organization in terms of its own mission. Stated usually in the negative, policies provide a kind of security alarm system to warn the organization when it is about to do something either unwise or dangerous. Stated sometimes in the positive, policies are the imperatives that keep the organization true to itself.

There are certain requirements to be met in developing a policy. First, the policy must be observable and controllable; second, it must be absolutely definitive in its terms; third, it must represent practicality. Policies are a very critical part of the strategic plan. They establish "ground rules"; set in place protective mechanisms, formulas; dictate codes of behavior; define expectations; assert priorities; and define various boundaries. All together, policies have the effect of *focusing* the mission statement.

Internal Analysis: The internal analysis consists of a thorough, unbiased, tripartite examination of the organization: specifically strengths, weaknesses, and the organizational chart as it reflects function and information flow.

> *Strengths*: Strengths are defined as those internal qualities, circumstances, or conditions that contribute to the organization's ability to achieve its mission.
>
> *Weaknesses*: The weaknesses of an organization are those internal characteristics, conditions, or circumstances that restrict, or even prevent, the realization of the mission.
>
> *Organizational Critique*: The third part of the internal analysis is an *organizational critique*; that is, a close examination of the organization's internal functions, communication, and levels of authority as reflected in the organizational structure. This critique is not aimed at correcting, merely at determining what is working and what is not. To be meaningful, an organizational critique must approach the analysis from five points of view: (1) span of control; (2) verticality; (3) gaps; (4) redundancies; and (5) formality versus informality.

External Analysis: The purpose of the external analysis is to prevent surprises that may negatively affect the organization's ability or opportunity to accomplish its mission. But more than providing mere intelligence about the future, the external analysis should serve as the immediate rationale for the formulation of objectives and the strategic commitment of resources. The external analysis...must deal with six categories of influence on the organization: social, political, demographic, economic, technological, and educational trends and developments. Each category must be analyzed in terms of its several factors, assumptions made about each factor, and the impact of each assumption calculated.

Ultimately, the purpose of such a detailed analysis of each category is a total assessment of the "impacts" on the organization. Once that assessment is complete, it must be placed in the context of the other components of the planning discipline - Beliefs, Mission, Policies, and Internal Analysis - and, at the same time, all those other components must be reconsidered in light of the impacts.

Competition: Competition is defined as any other organization providing the same marketplace. Typically, public education has not given a great deal of thought to competition, an certainly not to "products" and the "marketplace." But the fact is that the future of public schools cannot be guaranteed by law, only by the performance of those schools judged against an ever-growing number of educational options.

Critical Issues: It is helpful to identify...areas in which the institution faces the prospect of getting either much worse or much better. Critical issues, therefore, are those issues that must be dealt with if the organization is to survive or to excel in the context of its own stated mission. Usually, these critical issues can be identified only by a thorough reconsideration of the beliefs, the policies, the internal and external analyses, and the assessment of competition.

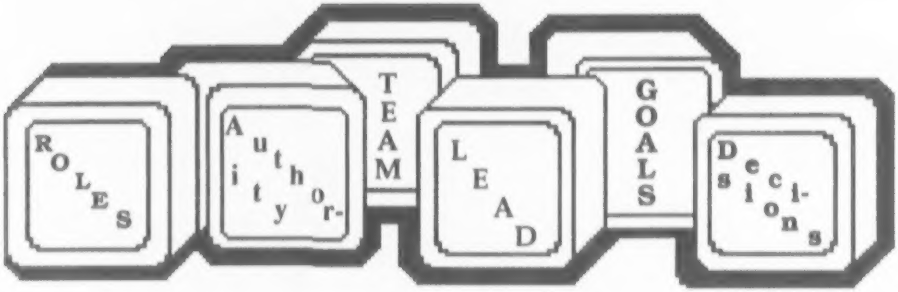
Objectives: The statement of objectives is the planning organization's commitment to achieve specific, measurable end results. The objectives are what the organization must achieve if it is to accomplish its mission and be true to its beliefs. An objective is the transformation of the mission into results. Therefore, objectives should be district-wide and student-centered. Both prudence and good planning demand that the number of objectives be limited. Typically, three or four objectives, if properly written, will capture the vision and stretch required to realize the mission.

Real objectives are commitments to specific significant results that are measurable in terms of (1) time, (2) money, (3) quality, and (4) quantity. In most cases, at least two of these measures must be present to validate an objective.

Strategies: The most important part of the planning discipline and, consequently, of the plan itself is the list of strategies. The strategies, after all, are what makes the plan "strategic." They are the articulation of bold commitments to deploy the organization's resources toward the stated objectives. Strategies are indicative of the organization's basic operational emphasis, its priorities, and the standards by which it will measure its own performance. Essentially, the strategies tell how the organization will accomplish the objectives, therefore realizing the mission.

Action Plans: The final component of the planning discipline is the action plan. As the name implies, action plans are a detailed description of the specific results necessary for the implementation of the strategies. Each strategy will be developed by several such plans, all containing step-by-step directions, timelines, assignments of responsibilities, and cost-benefit analyses. It is in the action plans that the strategies become operational. While the format of the action plan may vary depending upon content and performance, to be practical it must include at least: (1) specific reference to the strategy it supports; (2) a statement as to the objective of the action plan itself; (3) a detailed description of each step required to accomplish the plan; (4) an indication of assignments and responsibilities; (5) a timeline for the plan; and (6) a cost-benefit analysis.

GUIDELINES
For Restructuring The Educational Delivery System


ROLES
Author-ity
TEAM
LEAD
GOALS
Deci-sions

Organizing for Excellence

A New Mexico partners' activity sponsored by
Southwest Educational Development Laboratory

The following "guidelines" have been developed by a diverse group of New Mexico educators. The group formed as a result of a regional working conference, "Organizing for Excellence in Teaching and Administration", hosted by SEDL during August, 1988. The research synthesized in the SEDL publication, *Organizing for Excellence,* suggested that "top down" reform strategies are adversely affecting schools' attempts to provide quality education. The research also pointed out that effective school characteristics combine into an "ethos" that facilitates learning, and that successful change efforts are tailored to the unique needs at the school site. As a result of such research, a number of national commissions have reached the conclusion that decision making, along with the authority and resources to carry out the decisions, should reside at the school level.

While some educators believe that adjusting the present system will suffice, others advocate ***restructuring****. Restructuring is not adding more of the same or even making significant improvements to the existing structure. Restructuring requires that the current system be redesigned to meet the demands of a changed society. Restructuring means taking a critical look at all aspects of schooling including the mission and goals of schooling; organization and management at the local, district, state, and federal levels; curriculum and the structure of knowledge; instruction; the roles and responsibilities of educational personnel, students, and parents; school finance; and education regulation and control.*

While many district and state leaders recognize that it may be theoretically feasible to restructure the educational delivery system to facilitate school-based decision making, they are discouraged by the scarcity of guidelines or models for implementing such efforts. SEDL's Theme C assumed the role of catalyst for the development of such models. A "model" for restructuring was conceived of as a set of actions to consider, a process to guide districts that were considering making changes but had no clear idea about where to begin or how to proceed. Conference participants were asked to form post-conference model-development teams in their state to develop practical guidelines for those districts in the state that might want to change their organizational structure. Obviously, to meet the needs of each school's unique situation, each district must shape its own restructuring policy. While actions at the state regulatory level might be desirable to facilitate more decision making at the local school site, a "state-mandated model" would obviously be in contradiction to conclusions reached by the research on school improvement.

The New Mexico participants at the August SEDL conference, with Walter Smith of the New Mexico LEAD Center as chair, have met several times and developed these "guidelines." A list of the New Mexico "Organizing for Excellence" partners follows on the next page.

New Mexico "Organizing for Excellence" Guidelines-Development Team

Mission Statement

In order to establish more effective education programs, New Mexico schools are encouraged to use a participatory management process for decision making.

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STEP 1: How are the goals of the educational delivery system to be determined?

Members of the educational community* might be involved in making decisions in the following areas:

Developing district mission, goals, and program plans
Developing school goals and program plans to accomplish district and state goals

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Educational community = teachers, administrators, other school personnel, parents, and students

STEP 2: How will successful achievement of each goal be determined?
How will successful achievement of the goals be rewarded?
How will failure to achieve them be corrected?

STEP 3: What state and district decisions should involve school-site personnel participation?

School-Site Personnel Might be Included in Decisions Involving
- Compensation
- Collective bargaining
- Budget and allocation of resources
- Accountability processes
- Development of state and district policies and goals

STEP 4: What decisions (and the authority to implement them) should be decentralized to the school-site level in order for members of the school community to carry out the goals that are their responsibility? This should allow the school community to:

a) Adapt to needs of school's students (be student-centered).
b) Have the flexibility to change when needed.
c) Establish a wide leadership base.
d) Initiate and implement school improvement efforts that have significant results.

Decisions to be Made at the School-Site Might Include

Mission, goals, and program plans

Curriculum implementation

School-site budget

Evaluation of product and program

Determining school rules and procedures

Personnel processes
  Selection/staffing patterns
  Induction/support
  Improvement/evaluation

STEP 5: What resources will need to be controlled at the school level in order to implement the decisons suggested in Step 4?

DECISION	RESOURCES
Mission, Goals, and Program Plans	Time Staff development about school-based management
Curriculum Implementation	Curriculum materials (guide) Materials Textbooks Scheduling classes/time Staff development Staffing needs Methodology and techniques
School-Site Budget	Time Inservice Staff input (all groups - e.g., Principals, teachers, custodians, secretaries, etc.)
Evaluation of Product and Program	Testing instruments/standardized tests Evaluation components/criteria for grades Personnel who perform program evaluation
Determining School Rules and Procedures	To control at school level: Meeting time to make decisions Personnel who implement procedures Rewards/punishments Funds for material resources, research information, staff development

DECISION	RESOURCES
Personnel Process	
Staffing patterns	School personnel budget
Selection process - *job descriptions* - *advertising position* - *selecting candidates to interview* - *interviews*	Time Staff development (money and materials)
Induction/support district policies/instruction/peer relationship	
Improvement/Evaluation	

STEP 6: What actions need to be taken at each level for these decisions to be made at the school level?

	ACTIONS		
Decisions	School Level	District Level	State Level
Mission, Goals, Program Plans	Vision and leadership of administrators to carry out process	Provides flexibility to school level	Provides flexibility to district
	Build inservice into calendar and budget	Provides support and funding	Provides extra time for training (flexibility appropriate or additional funds)
Curriculum Implementation			
Curriculum Materials (guide)	School level staff, parents, students input about the content	Makes decisions to ensure procedures are followed	Provides support and technical assistance Appropriate funding
Materials Textbooks Scheduling classes/ Time	School staff, parents, and students participate in decision making		
Staff Development	Staff determines inservice needs		
Staffing Needs	Staff determines needs		
Methodology and Techniques	Staff determines needs		

	ACTIONS		
Decisions	School Level	District Level	State Level
Budget Involvement of School-Site Administrator and Staff			
Time	Leadership provides time for: 1) staff development 2) district planning 3) building program planning, budget development, and administration	Ensures that prime or quality time is provided for staff development and district budget planning	Provides flexibility during day for inservice activities that involve majority of staff
Inservice	Leadership provides funds for inservice	Ensures that funds are available for inservice	Provides extra funding for specific period of time for inservice and for substitutes on extra days worked by staff
	Leadership provides the enviroment for staff to participate in program planning, budget development, and administration	Supports the concept Provides the structure upon which the program works .... budget development model and format, specific funding amount	
	Provides information about budget development and administrative process to community and students.	Encourages everyone in community to be involved Provides support for process Provides information about budget details for district to state Provides staff to do training	Support

	ACTIONS		
Decisions	School Level	District Level	State Level
Budget Involvement of School Site Administrator and Staff (*continued*)	School staff (all groups) participate in inservice	District helps to provide inservice	Support
	-- participate in information meetings	Provides information for the meetings	
	-- participate in program planning and budget development	Provides a procedure; and provides processes that enable schools to make expenditure priorities	
	Staff make priority decisions; participate in administering the budget	District makes decisions about problems in budget and overages and shortages	
	Budget and administration processes communicated to staff	Provides information about budget and administrative process	
Evaluation of Product and Program	Principal and staff select testing program for individual school.	District provides training for test administrators	Provides for flexibility in terms of appropriate amount and content of testing
(Regular Programs) *(Federal Programs)* *(Special Programs)*	Principal and staff set criteria for mastery/ grades.	District provides training for staff in evaluation	Develops testing options instead of mandates

ACTIONS

Decisions	School Level	District Level	State Level
Evaluation of Product and Program (*continued*)	School sets up multi-level evaluation team for special programs (e.g., Chapter I, special education, etc.) that would include federal and state agencies in addition to building staff	District coordinates the team with outside agencies	Assists district in coordination
Determining School Rules and Procedures	Principal and staff choose meeting times to make decisions Choice of personnel who implement discipline rules and procedures is determined with involvement of students, parents, teachers, administrators, and school board members Appropriate rewards and punishments are determined with involvement of students, parents, teachers, administrators, and school board members	District establishes broad policy conforming to state laws Supports procedures of each school Provides funds and support as needed	Supports all local decisions that do not break state laws and that do not abuse or remove civil rights

	ACTIONS		
	School Level	District Level	State Level
Determining School Rules and Procedures (*continued*)	Allocation of funds for material resources, research information, and staff development determined with involvement of students, parents, teachers, administrators, and school board members	Establishes board policy conforming to state laws Supports procedures of each school	
Personnel Processes			
Staffing patterns	Parents, students, staff provide input	Provides personnel budget	Provides for staffing flexibility
Selection *-job descriptions* *-advertising position* *-selecting candidates to interview* *-interview*	Staff decides	Provides support/funding to school level	Provides flexibility w/certification practices and reciprocity
Induction *-support district policies* *-instruction* *-peer relationships*	Staff determines needs	Ensures support and that procedures are followed	Provides technical assistance Provides flexibility with New Educator Support Plan
Improvement/ Evaluation	Administrator & staff determine needs and/or processes	Ensures support and that procedures are followed	Provides flexibility with TPEP (may need)

STEP 7: What new roles and/or functions might be expected of personnel at each level?

School-site

School Administrators -- Need skills to facilitate group decision making, to encourage collaborative activities, to broaden instructional leadership to include teachers, and to share management of resources.

Teachers -- Need to develop decision-making skills, to learn to work collaboratively with colleagues, and to accept responsibility for total school success.

Students -- Need to accept responsibility for their own behavior and to learn to work cooperatively together for the success of schooling.

Parents -- Need to accept responsibility for becoming involved in the schooling effort.

District Level

School Board -- Has the responsibility for defining goals and should provide the support and flexibility schools require to achieve those goals. Must understand the dynamics of decentralizing decision making and managing the outcomes.

Superintendent -- Needs skills to facilitate group decision making, to encourage collaborative activities, and to share management of resources. With the School Board, has the responsibility for defining goals, and should provide the support and flexibility schools require to achieve those goals. Must understand the dynamics of decentralizing decision making and managing the outcomes.

Central Office Staff -- Must adopt support and facilitation roles to respond to the varrying needs of the schools. Must be knowledgable about processes and provide technical assistance to schools on request.

State Level

State Legislature -- Establishes guidelines for accountability and provides resources. Reviews past legislation to determine compatibility with participatory management philosophy. Enacts legislation to allow flexibility for all levels to achieve legitimate educational goals.

State Board of Education -- Establishes standards of accountability. Reviews regulations to determine compatibility with participatory management philosophy. Allows flexibility for all levels of the system to achieve legitimate educational goals.

State Education Agency -- Provides flexibility for districts and schools to achieve legitimate educational goals. Monitors compliance with state standards and offers technical assistance.

STEP 8: In order to accomplish these changes, what actions have to be taken?

1. State Board of Education and Local Boards must approve participatory management policies to set plans in motion.
2. State Department of Education, local education agencies, administrators, staff, professional organizations, parents, and community members must be aware of and approve participatory management processes.
3. Flexibility to achieve legitimate educational goals must be extended to individual schools which demonstrate that a school-based participatory decision making process has been followed.
4. Staff development activities must be provided in order to develop needed skills.

Recommendations for Restructuring

"Restructuring for Better Schools: Educational Reform in Action"

Suggestions from those who are at the school and district level provide some of the most valuable insights into viable alternatives to the present structure of roles, responsibilities, and resource-allocation patterns. Southwest Educational Development Laboratory and the Louisiana Leadership Academy of the Louisiana Department of Education cosponsored a conference, "Restructuring for Better Schools: Educational Reform in Action," in May 1989. Approximately 250 school administrators and teachers attended.

The conference included a simulation activity that involved all conference participants in small-group discussions. In the discussion scenario, the State Department of Education had selected several parishes to participate in a Restructuring Pilot Project. Each parish had committed to redesigning its responsibility, authority, and resource-control structures so that decision making and authority would reside at the level having responsibility for implementing the decisions. The participants formed ten discussion groups, each of which simulated a team called together by its Parish School Board to prepare a set of recommendations for initiating restructuring. Each participant was asked to assume the role of a parent, teacher, school administrator, or central office administrator on the parish team. Groups discussed the following questions:

1. What strategies or processes will you establish to ensure that persons in all roles and at all levels are involved in decision making?,

2. What decisions will be made at the school level? What decisions will the Parish retain control over?, and

3. How will you ensure that established goals, standards, and outcomes are being met?

The following represents a compilation of group responses to the three guiding questions posed in the discussion scenario.

***QUESTION ONE:** What strategies or processes will you establish to ensure that persons in all roles and at all levels are involved in decision making?*

Initial Steps

The following activities were suggested as methods of building community awareness and inviting participation.

- Inservice for district personnel on site-based management
- Open hearings (a public forum) for the community
- A media blitz (radio, tv, newspaper)
- Conduct a needs assessment (random sample) involving school personnel (principals, teachers, staff), students, and community members (business, recent graduates, dropouts)

Membership of Advisory Councils

All the discussion groups appeared to proceed from the same assumption: an *advisory council* would be the vehicle through which individual schools in the parish would direct their school restructuring efforts.

The council should involve various constituent groups but maintain a workable size. Variation will be seen between councils, as each school's identified needs will ultimately determine the makeup of the council. There should, however, be parish guidelines to provide some consistency across the parish. The following categories were suggested for council membership.

1. School personnel
   a. principals
   b. teachers -- regular classroom, tenured and non-tenured (i.e., both under 5 years experience and over 10 years experience); support teachers (e.g., physical education, Chapter I reading, guidance)
   c. noncertified support personnel (office, custodial, cafeteria)
   d. central office staff

2. Students at the middle and high school levels

3. Community members (representing a cross-section of the community)
   a. business and industry (e.g., a Chamber of Commerce representative)
   b. other community leaders (e.g., a minister)
   c. parents (both those who have children in school and those who have no children in school)

Selection Process for Advisory Council

Various combinations of election and nomination were suggested as methods for selecting council members. Recommendations included the following:

- Each constituency elects its representative(s).
- Members from each constituency are 3/4 elected and 1/4 appointed.
- Members from the individual school, student, and parent constituencies are elected; members from the greater community and central office are appointed by the principal.

A balanced council, representative of the community's and/or school's ethnic and racial population, was seen as imperative. A balance by sex was also recommended by one group.

Distribution of Power

The small-group discussions concluded that decision-making ground rules should address the following questions:

- Should consistent guidelines be established across the parish?
- Must decisions be made by consensus?
- Do all members have an equal vote?
- Does the principal have veto power?

Most discussion groups expressed a special concern for accountability, particularly that of the principal, in both the distribution of power and the selection of council members above.

Other suggestions included the following:

- All general council meetings are open to the public.
- Council members hold meetings with their constituencies two weeks before the general meeting.
- Council members serve staggered terms.
- The council's total membership is odd-numbered, if decisions are made by vote.

The role of the central office representative was discussed from three perspectives: that of equal voting member, that of consultant assigned by the central office to a particular school, and that of whole-council facilitator.

Incentives for Community Involvement

Many groups anticipated a need to address special community needs, particularly on the part of parents. The assumptions discussed included the following:

- Parents want an equal voice in the schooling of their children.
- Some administrators are unsure of parent motives.
- Parents who don't feel good about their children's school may feel insecure regarding their own level of education and what they have to contribute; they may feel alienated from the institution of "school."

Incentives and solutions offered included the following:

- Devote more time and personnel (e.g., guidance counselors, assistant administrators) to communication with parents.
- Contact parents at night and schedule committee and advisory meetings in the evenings to encourage attendance.
- Use newsletters, a telephone tree, and mass media coverage to publicize upcoming meetings and events.
- Establish a school-level committee to focus on increasing parental involvement.
- Establish a public relations committee at the district level to keep the community abreast of the district's restructuring efforts.

Advisory Council Activities

Those groups that addressed the issue of key council tasks offered the following suggestions:

- Obtain input and suggestions from the members' constituencies.
- Set parameters to make sure all population groups are represented.
- Conduct needs assessments or self-studies for the attendance area.
- Develop an action plan, specifying timelines and evaluation plans.
- Arrange inservice according to identified needs, including council training in group-process skills.

QUESTION TWO: What decisions will be made at the school level? What decisions will the Parish retain control over?

Curriculum and Instructional Time and Methods

School-level decisions should include the following:

- govern special pilot programs, enhancement programs, pre-kindergarten, transitional first grade, and summer programs;
- allow for flexible scheduling in establishing grouping schedules and length of time for the teaching of subjects;
- determine instructional methods (e.g., teaching cycle models, reading and mathematics strategies)
- establish course offerings.

Parish-level decisions should include the following:

- govern special programs that have restrictions (as with some federal and state programs and grants), and
- establish parameters for individual school course offerings.

One group anticipated that the state would continue to mandate a specific exit test for graduation.

Budgeting/Resource Allocation

Groups envisioned a variety of ways in which the school and the parish might share decision making in this area. Proposals ranged from those which represented a highly centralized situation to one in which individual teachers maintain their portions of the school budget and allocate monies to items other than materials and textbooks.

The following resources were suggested as appropriate to school-level allocation and expenditure:

- salaries
    all professional staff salaries (thus allowing a building-level structuring of personnel positions) and substitute teacher salaries
- all non-salary money
- state and federal program monies that are without special rules
- regular maintenance, janitorial supplies, and utilities
- an extended learning budget (i.e., discretionary fund) for remediation or enhancement programs

Resources most appropriate to parish-level control might be as follows:

- maintenance and equipment,
- food service,
- transportation, and
- all parish-level salaries.

Additional recommendations included:

- schools can apply to outside sources for grants for additional program needs.
- textbooks and library book allocations are based on need, not a budgeted amount.
- the advisory council receives training in finances and budgeting.

Selection of Textbooks and Supplementary Materials

All groups recommended that decision making rest at the school level in the selection of texts and supplementary materials.

Assessment

One group recommended that student evaluation be determined by the school. The format (norm- or criterion-referenced) and specific test would be at the discretion of the school. The parish would endorse the various tests. The state exit test would be eliminated and program evaluations would be the focus instead.

Another group recommended that program evaluation responsibility be shared by the school and the parish. A third group elaborated: the individual school's action plan would include provisions for both an impact and process evaluation. Components of the evaluation could include: the initial needs assessment, test scores, self-evaluations, pre- and post-test surveys (by students and parents) and an assessment of the school according to effective school components.

Determining School Rules and Procedures

All groups recommended that decision making reside at the school level in this area, including the setting of dress code standards, all school rules, and procedures for discipline.

Personnel Processes

Group recommendations ranged from a sharing of the selection and hiring process between school and parish to sole decision making at the school level, as illustrated by the following:

- The school hires and evaluates all personnel.
- The parish establishes a teacher pool and the principal makes the selection; the advisory council is involved at the advisory level only.
- The parish makes personnel appointments with school input.

Parent/Community Involvement

All groups recommended that this area be at the school level of decision making, with one group suggesting that the parish establish parish-wide guidelines. Another group specified school-level involvement in providing transportation to encourage parent and community involvement.

Scheduling

All groups envisioned a sharing of decision making in this area, with the parish generally retaining control of the school year (i.e., the major school calendar) or at least setting minimum requirements. Individual schools would be free to maximize their community preferences. Specific options included establishing an extended day and setting unique hours of operation.

QUESTION THREE: How will you ensure that established goals, standards, and outcomes are being met?

Most groups began with the premise that the individual school would work from an action plan which specifies the school's mission, goals, objectives, timeline, and method of evaluation.

An annual program evaluation was also assumed, with a variety of evaluators recommended: an external audit team, a parish monitoring team, and/or an in-house committee.

The following represents a listing of evaluation measures suggested for school or parish consideration:

- attitude surveys of teachers, parents, and students;
- student discipline data (including vandalism rates);

- attendance rates of students and teachers;
- PTA/PTO membership and participation rates;
- student achievement;
- pre- and post-tests; and
- exit data (drop-out and graduation rates).

The discussion groups seemed to be concerned that both objective and subjective data be gathered in order to provide the most meaningful assessment of a school's restructuring effort. One group recommended that evaluation results be published. Another suggested that a tracking of graduates would provide information for long-range evaluation. Still another suggested that an evaluation instrument unique to a school and its community could be devised by outside consultants.

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APPENDIX A

Survey Respondents

SURVEY RESPONDENTS

National Network for Educational Renewal
Colorado Partnership

Palmdale Traditional School
Roosevelt School District
3146 E. Wier
Phoenix, AZ 85940

Poway Unified School District
13626 Twin Peaks Road
Poway, CA 92064

Hillside Junior High School
2222 Fitzgerald
Simi Valley, CA 93065

San Ramon Vallely Unified School District
699 Old Orchard Drive
Danville, CA 94526

Sagebrush Elementary School
Cherry Creek School District
14700 E. Temple Place
Aurora, CO 80015

Cherry Creek School District
4700 S. Yosemite Street
Englewood, CO 80111

Little Rock Independent School District
Little Rock, AR 72202

Conejo Valley Unified School District
1400 E. Janss Road
Thousand Oaks, CA 91362

San Diego Unified School District
4100 Normal Street
San Diego, CA 92103

Mt. Diablo Unified School District
1936 Carlotta Drive
Concord, CA 94519

Fairfield-Suisan Unified School District
1025 Delaware
Fairfield, CA 94533

Roberts Avenue School
11 Seventh Avenue
Danbury, CT 06810

Monroe County School District
242 White Street
Key West, FL 33041

Broward County Public Schools
1005 East Broward Boulevard
Fort Lauderdale, FL 33301

Polk County Public Schools
P. O. Box 391
Bartow, FL 33830

Westwood Primary School
708 Trammell Street
Dalton, GA 30720

Metropolitan School District of Warren Township
9301 E. 18th Street
Indianapolis, IN 46229

Jefferson County Public Schools
P. O. Box 34020
Louisville, KY 40232-4020

Paint Branch Elementary School
5101 Pierce Avenue
College Park, MD 20678

Dade County Public Schools
1410 N.E. Second Avenue
Miami, FL 33132

St. Petersburg High School
2501 Fifth Avenue N.
St. Petersburg, FL 33713

Wildwood Middle School
200 Cleveland Street
Wildwood, FL 34784

Paul Norton Elementary School
4485 Greenbrier Drive
Bettendorf, IA 52722

Evansville-Vanderbugh
School Corporation
1 S.E. Ninth Street
Evansville, IN 47708

New Orleans Public Schools
4100 Touro Street
New Orleans, LA 70122

Martin Luther King Academic Center
4545 Ammendale Road
Beltsville, MD 20705

Northwestern High School
7000 Aldelphi Road
Hyattsville, MD 20782

Montgomery County Public Schools
2720 Plyers Mill Road
Silver Spring, MD 20902

Jefferson Elementary School
Rochester Independent School District
1201 10th Avenue N.E.
Rochester, MN 55904

St. Louis Public Schools
911 Locust Street
St. Louis, MO 63101

Granville County Schools
P. O. Box 927
Oxford, NC 27565

Executive Director of the FORUM
400 Oberlin Road
Suite 220
Raleigh, NC 27605

Haywood County Schools
1615 North Main Street
Waynesville, NC 28786

Walt Whitman High School
7100 Whittier Blvd.
Rockville, MD 20817

Dakota Hills
14445 Diamond Path
Rosemount, MN 55068

School-Based Management
Project Manager
St. Louis Public Schools
911 Locust Street
St. Louis, MO 63101

Jackson School District
P. O. Box 2338
Jackson, MS 39225

Granville County Schools
P. O. Box 927
101 Delacroix Street
Oxford, NC 27565

Gaston Junior High School
P. O. Drawer J
Gaston, NC 27832

Ellis School
Main Street
Fremont, NH 03044

Hollis Area High School
Main Street
Hollis, NH 03049

Andover Elementary School
P. O. Box 87
Andover, NH 03216

Cutler School
P. O. Box 628
West Swanzey, NH 03469

Seminary Hill School
20 Seminary Hill
W. Lebanon, NH 03784

Pine Hill School District
15 E. Seventh Avenue
PIne Hill, NJ 08021

Cleveland Public Schools
Cleveland, OH 44114

Clackamas County School District #62
P. O. Box 591
Oregon City, OR 97045

Pelham High School
Marsh Road
Pelham, NH 03076

Jaffrey-Rindge Middle School
109 Stratton Road
Jaffrey, NH 03452

Colebrook Elementary School
166 Main Street
Colebrook, NH 03576

McClelland School
Brock Street
Rochester, NH 03867

Cincinnati Public Schools
230 E. 9th Street
Cincinnati, OH 45202

School District of Philadelphia
21st Street, S. of Parkway
Philadelphia, PA 19103-1099

Orangeburg School District #5
578 Ellis Avenue
Orangeburg, SC 29115

Salt Lake City School District
440 E. 100 South
Salt Lake City, UT 84111-1898

Sammamish High School
100 140th Avenue S.E.
Bellevue, WA 98005-3721

Seattle Public Schools, Zone III
5950 Delridge Way S.W.
Seattle, WA 98106

Yakima School District
104 N. Fourth Avenue
Yakima, WA 98902

Milwaukee Public School District
P. O. Box 10-K
Milwaukee, WI 53201

Memphis City Schools
2597 Avery, Room 214
Memphis, TN 38112

Montgomery County Public Schools
1527 Chatham Colony
Reston, VA 22090

College Place Middle School
7501 208th S.W.
Lynnwood, WA 98036

Edison Elementary School
1315 East Alder
Walla Walla, WA 99362

APPENDIX B

Survey Summary

Survey Summary Data

Results of the SEDL survey appear below in descending order of frequency of response. The graphs on the following pages show the results within two broad categories: **Personal and Interpersonal Barriers** and **Institutional Barriers**.

*QUESTION ONE: **What were the major difficulties you encountered or observed in trying to change traditional behavior when initiating shared decision making?** (63 responses)*

Resistance to changing roles and responsibilities (32 of 63 = 51%)

1. Reluctance to accept different responsibilities (24 of 32 = 75%)
2. Dependence on norms and role expectations (13 of 32 = 41%)
3. Satisfaction with status quo (7 of 32 = 22%)
4. Apathy (3 of 32 = 9%)

Fear of losing power (24 of 63 = 38%)

Inadequate or inappropriate resources (24 of 63 = 38%)

1. Time (20 of 24 = 83%)
2. Money (6 of 24 = 25%)
3. Staff (4 of 24 = 17%)

Lack of definition and clarity (24 of 63 = 38%)

1. Shared decision making (13 of 24 = 54%)
2. Vision and beliefs (5 of 24 = 21%)
3. Roles (6 of 24 = 25%)

Lack of skills (19 of 63 = 30%)

Types of training needed are reported in Survey Question 2 below

Lack of trust (19 of 63 = 30%)

Lack of hierarchical support (17 of 63 = 27%)

1. Absence of full system commitment (9 of 17 = 53%)
2. Transience of personnel (4 of 17 = 24%)
3. Inadequate communication (3 of 17 = 18%)
4. Conflicts with outside regulations (3 of 17 = 18%)

Fear of taking risks (12 of 63 = 19%)

QUESTION TWO: What types of training activities do you feel are necessary to successfully initiate shared decision making? (60 responses)

Collaborative skills (45 of 60 = 75%)

1. Consensus building
2. Conflict resolution
3. Communication
4. Commitment building
5. Team building

Knowledge and information (40 of 60 = 67%)

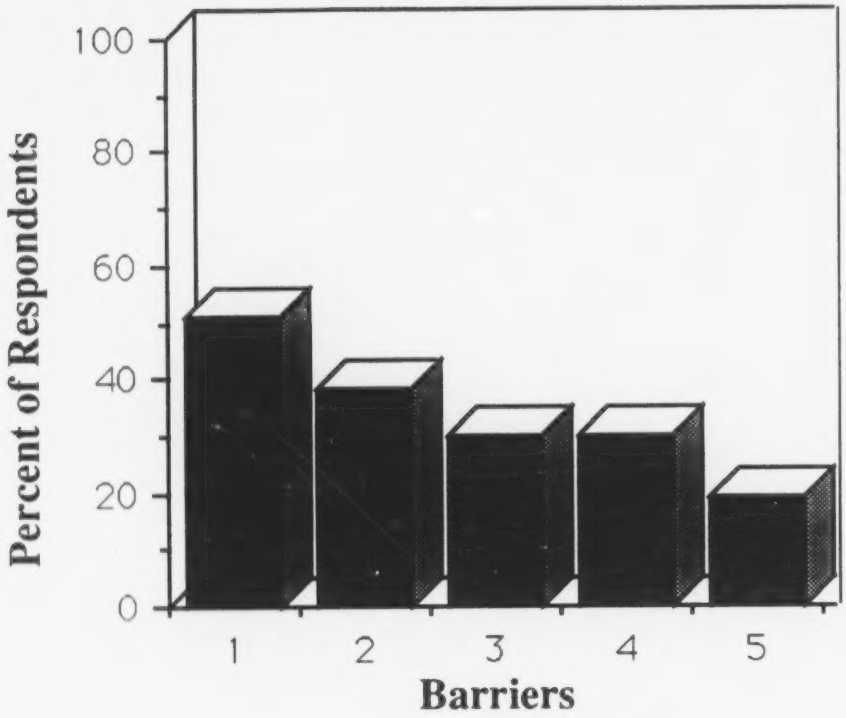
1. Clear rationale for implementing shared decision making
2. Operational ground rules (e.g., decision-making group's function, charge)
3. Shared decision making concepts
4. Theory (e.g., school as an organization, change theory)
5. Information specific to decision-making tasks (e.g., budget, state regulations)

Decision making skills (37 of 60 = 62%)

1. Developing a mission statement/vision

2. Leadership
3. Problem solving/critical thinking
4. Strategic planning
5. Priority setting
6. Resource utilization
7. Designing accountability/evaluation plans

Personal and Interpersonal Barriers to Changing Traditional Behavior



1. Resistance to changing roles and responsibilities (51%)

2. Fear of losing power (38%)

3. Lack of skills (30%)

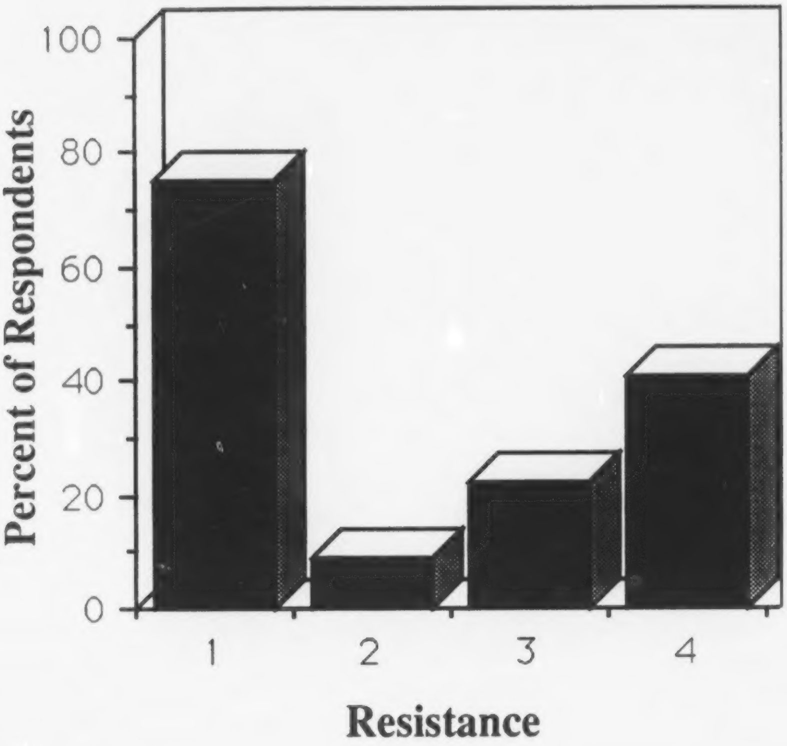
4. Lack of trust (30%)

5. Fear of taking risks (19%)

Personal and Interpersonal Barriers

Resistance to changing roles and responsibilities

N=32



1. Reluctance to accept different responsibilities (75%)

2. Apathy (9%)

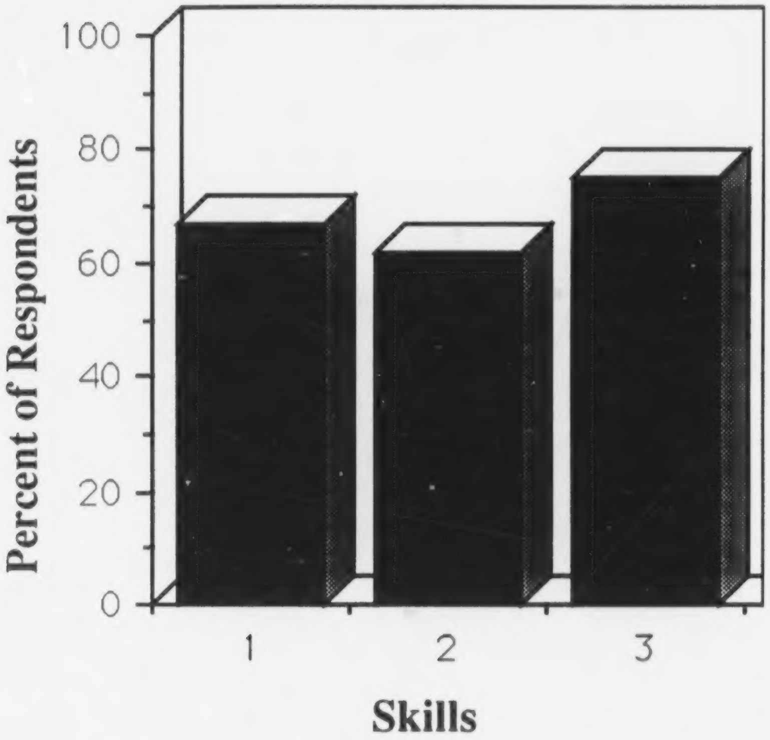
3. Satisfaction with status quo (22%)

4. Dependence on norms and role expectations (41%)

Personal and Interpersonal Barriers

Skills Needed for Successful Shared Decision Making

N=60

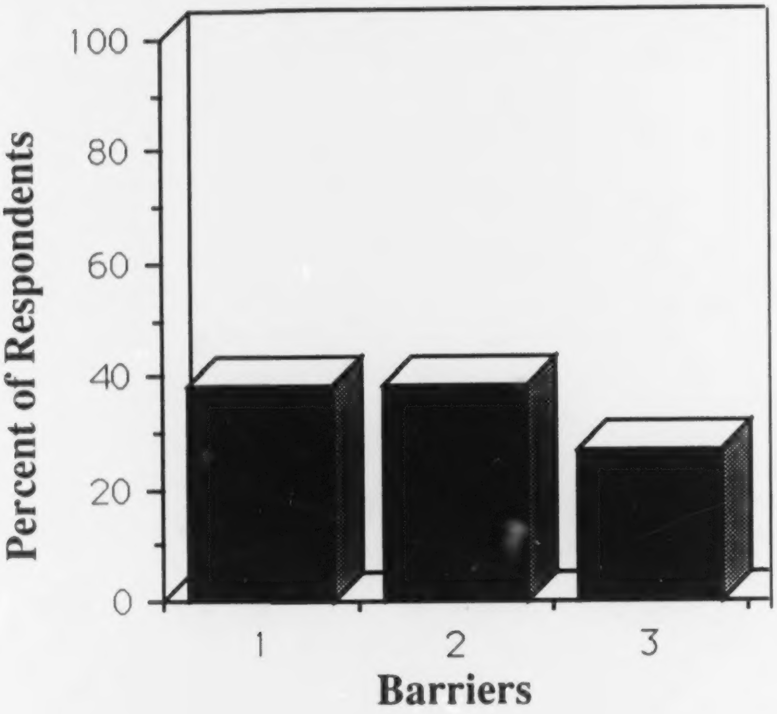


1. Knowledge and information (67%)

2. Decision making skills (62%)

3. Collaborative skills (75%)

Institutional Barriers to Changing Traditional Behavior

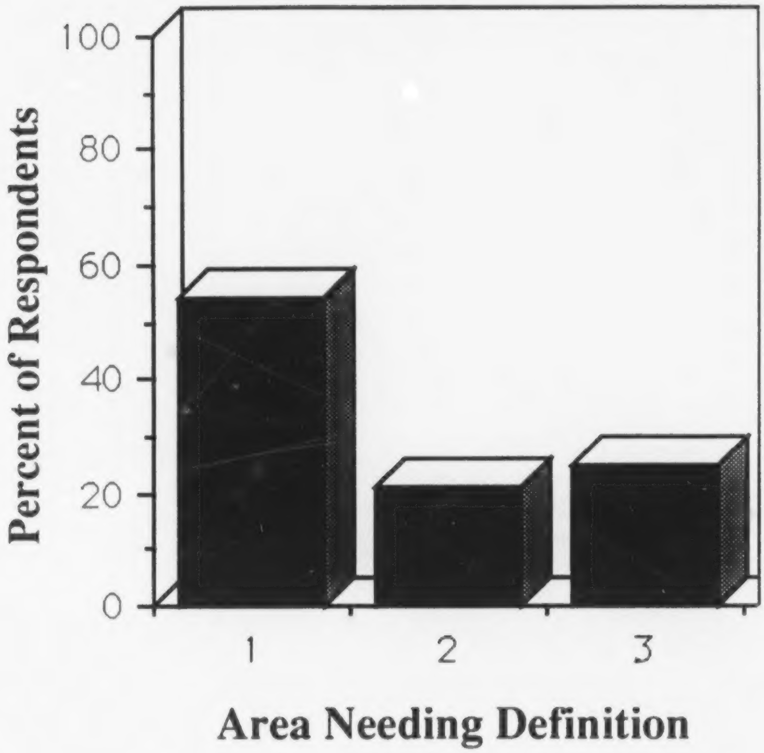


1. Lack of definition and clarity (38%)
2. Inadequate or inappropriate resources (38%)
3. Lack of hierarchical support (27%)

Institutional Barriers

Lack of definition and clarity

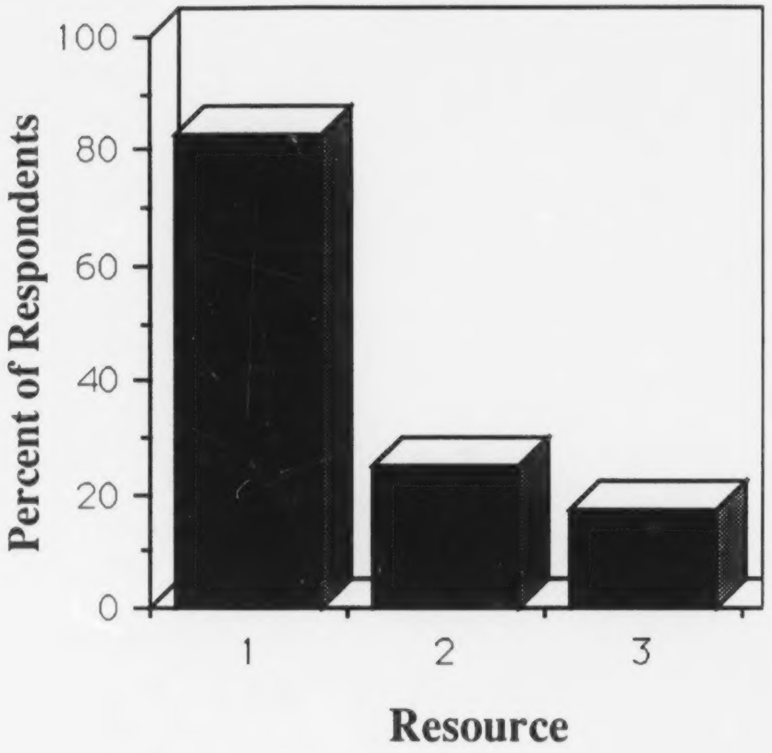
N=24



1. Shared decision making (54%)

2. Vision and beliefs (21%)

3. Roles (25%)



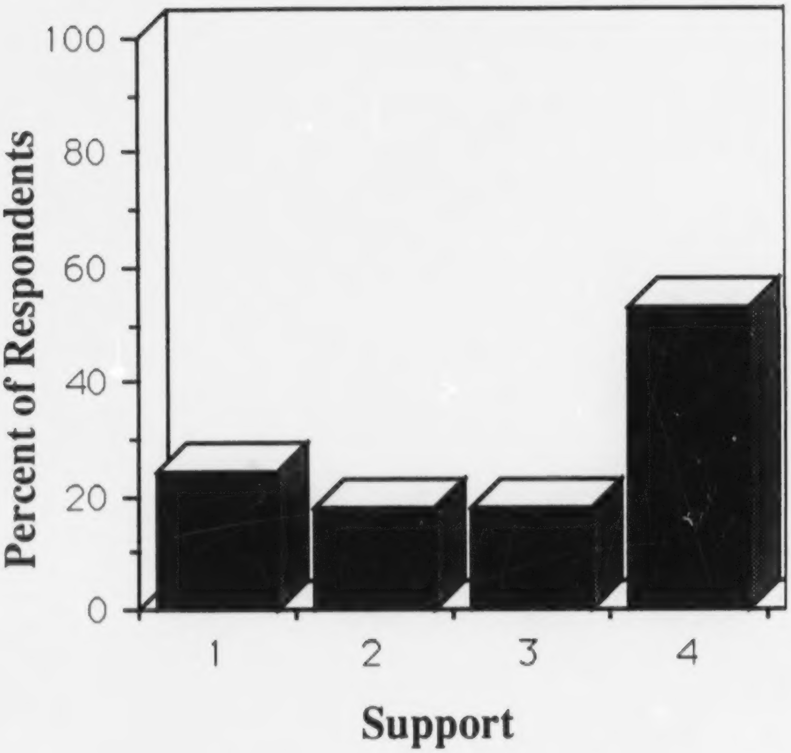
Institutional Barriers
Inadequate or inappropriate resources
N=24

1. Time (83%)
2. Money (25%)
3. Staff (17%)

Institutional Barriers

Lack of hierarchical support

N=17



1. Transience of personnel (24%)
2. Inadequate communication (18%)
3. Conflicts with outside regulations (18%)
4. Absence of full system commitment (53%)

APPENDIX C

Training Resources and Programs

Training Resources and Programs

The following resources and training programs have been identified as useful and available to practitioners who are interested in implementing shared decision making in their school or district. The first list contains resources recommended by respondents to the Southwest Educational Development Laboratory's 1989 survey on shared decision making. As such, the contents should not be interpreted as recommendations by SEDL staff but rather as a compilation of practitioners' recommendations. The second list contains other relevant training resources and programs available to practitioners from three Leadership in Educational Administration Development (LEAD) Centers.

Resources Recommended by SEDL Survey Respondents

RESOURCE (recommended by)	**CONTACT NAME**	**ADDRESS/PHONE**
Consultant (Jefferson County, KY; Montgomery County, MD; Waynesville, NC; Oxford, NC; Reston, VA; NC Forum)	Dr. Phil Schlechty Executive Director	Gheens Academy 4425 Preston Hwy. Louisville, KY 40213 512/473-3319
Consultant (Oxford, NC; NC Forum)	Dr. Ken Jenkins	Dept. of Leadership & Higher Education School of Education Appalachian State University Boone, NC 28608 704/262-6093 or 704/262-2214
Consultant (Jefferson County, KY)	David Lynn	Blessing/White 900 State Road Princeton, NJ 08540
Consultant (Jefferson County, KY)	Teleometrics International	1755 Woodstead Court Woodlands, TX 77380
Consultant (Jefferson County, KY)	Robert Lemon	Rohm & Hass Kentucky Inc. 4300 Camp Ground Rd. Louisville, KY 40216
Facilitation/consulting (Fremont, NH; West Swanzey, NH)	Douglas S. Fleming	P. O. Box 1705 218 Northfield Rd. Lunenburg, MA 01462
Training needs (Rochester, NH)	National Training Labs	Washington, D.C.
Group Process/ Situational Leadership (San Diego, CA; Aurora, CO)	Ken Blanchard Drea Zigarmi	Blanchard Training and Development 125 State Place Escondido, CA 92025 619/489-5005

Strategic Planning (materials) (San Diego, CA)	University Associates	8517 Production Avenue San Diego, CA 92121 619/578-5900
Strategic Planning (training) (San Diego, CA)	Kathy Dovey	UA Consulting and Training Services 8380 Miramar Mall Suite 232 San Diego, CA 92121 619/552-8901
School Council Assistance Project (Indianapolis, IN)	College of Education	University of South Carolina Columbia, SC 29208
Consultant (San Ramon Valley, CA)	Dr. Jan Laine	The Laine Group P. O. Box 926 Tiburon, CA 94920 415/435-6042
Quality Circle Facilitator Training (Oregon City, OR)	Quality Circle Institute	P. O. Box 1503, Dept. 1029 Red Bluff, CA 96080-1335
Strategic Planning (San Diego, CA)	Association for Curriculum and Development	125 North West Street Alexandria, VA 22314 703/549-9110
Matsushita Foundation (Reston, VA; San Diego, CA)	Dr. Sophie Sa	One Panasonic Way Secaucus, NJ 07094 201/392-4132
	David Florio	202/357-7425
	Ken Toole (consultant to Matshushita)	Prof. of School Admin. CCNY New York City, NY
ODDM - Outcomes Driven Developmental Model (Johnson City, NY; Yakima, WA; Lynnwood, WA)	Dr. Al Mammary, Supt. Dr. Larry Rowe, Asst. Supt. Dr. Frank Alessi, Project Director	Johnson City School District 666 Reynolds Road Johnson City, NY 13790 607/770-1200

National Center for Outcomes Education (Yakima, WA)	Dr. John Champlin	15429 Richmond Fountain Hills, AZ 85268 602/837-8752
Onward to Excellence Program (Lynnwood, WA; Walla Walla, WA)	Northwest Regional Educational Laboratory	101 S.W. Main St. Suite 500 Portland, OR 97204 503/275-9500
Nominal Group Techniques (Little Rock, AR)	Dr. Marvin Fairman	University of Arkansas Fayetteville, AR 72701
Consultant (Milwaukee, WI)	Bill Boone	Martin, Boone, & Associates 811 Madison St. Evanston, IL 60202
Creative Problem Solving (Aurora, CO)	Bill Langenstein	IBM Armonk, NY
Instructional Improvement Group (Reston, VA)	Joellen Killion	W. Sixth Ave. Broomfield, CO 80020
Memphis City Schools Deregulated School Program (Memphis, TN)	W. W. Herenton, Supt.	Memphis City Schools 2597 Avery Avenue Memphis, TN 38112 901/454-5200
Myers/Briggs Personality Inventory Workshop (Waynesville, NC; Pine Hill, NJ)	Dr. Robert Williams	University of Georgia
Peer Coaching Seminar (Waynesville, NC)	Pam Robbins	ASCD Workshop Alexandria, VA 22314-1430
Group Processes, Shared Decision Making (Waynesville, NC)	Dr. Bruce McPhearson	Western Carolina University NC Center for the Advancement of Teaching

District-based trainers (Cincinatti Public Schools)	Dr. Lee Etta Powell	Cincinnati Public Schools 230 East 9th Street Cincinatti, OH 45202 513/369-4700
Leadership Styles (Jaffrey, NH)	Sue Herman	Hillsborough, NH
Miami-Dade County School-Based Management Project (Memphis, TN)	Lynn Schenkman	Dade County Schools 1450 N.E. Second Ave. Miami, FL 33132
Redesigning the Inner-City School: The Comer Process (Memphis, TN)	James P. Comer	Yale Child Study Center Yale University 230 Frontage Street New Haven, CT 06510
Jackson Public Schools Effective Schools Training model (Oxford, NC; Memphis, TN; Danbury, CT)	Dr. Swinton Hill Henriette L. Allen	Jackson MS Schools P. O. Box 23380 662 S. Presidents St. Jackson, MS 39225
Memphis Education Assoc. NEA Learning Lab Project (Memphis, TN)	Wayne T. Pike	126 Flicker Street Memphis, TN 38104
New Hampshire School Improvement Program (Pelham, NH; Colebrook, NH; Andover, NH; West Swanzey, NH)	Elenore Freedman	244 North Main Street Carrigan Commons Concord, NH 03301 603/224-5444
Shared Governance	Susan Niederhauser	Salt Lake City School District 440 East 100 South Salt Lake City, UT 84111 801/328-7244
District-based trainers (Englewood, CO)	Louise Woelber	Cherry Creek School District 4700 South Yosemite Street Englewood, CO 80111

Locally-developed materials (St. Petersburg, FL)	Marie Shipley	Management Development School Board of Pinellas County Clearwater, FL 34624
Cleveland City Schools School-Based Management (Cleveland, OH)	Francis S. Martines	Cleveland Board of Education Room 400 North 1380 East 6th St. Cleveland, OH 44114
Locally-developed training (Rosemount, MN)	Patrick L. Sullivan	Dakota Hills Middle School 14445 Diamond Path Rosemount, MN 55068 612/454-0052
Local and state trainers (Bellevue, WA)	Mary Lou Johnson	Bellevue School District 100 140th Ave SE Bellevue, WA 98005
Effective Schools Process (Beltsville, MD)	Dr. Lawrence W. Lezotte	Michigan State University
NSPRA School Communication Kit for School Based Management (Beltsville, MD)	Bette L. Lewis	Martin Luther King Academic Center 4545 Ammendale Rd. Beltsville, MD 20705
Leadership Style Inventories (Oxford, NC)	Jackie Savage	Public School Forum Raleigh, NC 919/832-1584
Accountability Models (Oxford, NC; NC Forum)	Roy Forbes	School of Education Ferguson Bldg. University of North Carolina Greensboro, NC 27412
Locally-developed school-based management training packages (Milwaukee, WI)	Judith Isakson	Dept. of Staff Development Milwaukee Public Schools Milwaukee, WI
Consultant (Phoenix, AZ)	Dr. Sherwin Allen	Roosevelt School District 6000 S. 7th Street Phoenix, AZ 85040

National Committee for Citizens in Education (St. Louis, MO; Pine Hill, NJ; Rochester, MN)	Dr. Carl Marburger	10840 Little Patuxent Parkway Columbia, MO 21044 301/997-9300
I.D.E.A. (St. Louis, MO)	John Paden	Dayton, OH
Locally-developed training and resources (St. Louis, MO)	Glenn Wiesner	St. Louis Public Schools 1004 N. Jefferson St. Louis, MO 63106 314/421-4588
National Education Association (Thousand Oaks, CA; Bettendorf, IA; Gaston, NC; Simi Valley, CA)	Dr. Robert McClure	1201 16th St. NW Washington, DC 20036 202/966-8142
	Carol Livingstone	202/822-7907
San Diego Unified School District model (Reston, VA)	Hugh Boyle Tom Payzant	San Diego USD San Diego, CA
National Governor's Association (Reston, VA)	Michael Cohen	NGA Washington, DC
Consultant (Reston, VA)	Naomi Baden	Washington/Baltimore Newspaper Guild 1511 K St. NW Washington, DC 20005 202/393-0808
Visioning/Goal Setting Differentiated Staff Models (NC Forum)	Jackie Savage John Dornan	Public School Forum 400 Oberlin Rd. Suite 220 Raleigh, NC 28605
Concerns Based Adoption Model (Danbury, CT)		University of Texas Austin, Texas 78745
Training programs (Bettendorf, IA)	Mid-Continent Regional Educational Laboratory	12500 E. Iliff Ave., Suite 201 Aurora, CO 80014 303/337-0990

Local trainers on decision making and collaborative skill development (Seattle, WA)	Libia S. Gil	Seattle Public Schools Zone III Administration 5950 Delridge Way SW Seattle, WA 98106

Additional Training Programs

Site-Based School Improvement Modules	Dr. Bill Osborne	Oklahoma LEAD Professional Development Center 131 South Flood Avenue Norman, OK 73069 405/360-0220
Targets for Trainers	Tom Shearer	Kentucky LEAD 1121 Louisville Road Frankfort, KY 40601 502/223-2758
School leadership training-of-trainers programs	Joan Burnham Ellen Bell	Texas LEAD Center 406 E. 11th Street Austin, TX 78701
Modules adapted from the California School Leadership Academy (CSLA) modules Institute of Cultural Affairs Facilitation Methods seminar	Leadership Development Process: Partners for Excellence(DuPont-originated management and development process)	Peer-Assisted Management Training (adapted from Far West Laboratory for Educational Research and Development's Peer-Assisted Leadership Program)